<u>MARINE CORPS ORDER P3121.1</u>

From: Commandant of the Marine Corps
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Subj: MARINE CORPS PLANNING AND PROGRAMMING MANUAL

Ref: (a) MCO P5000.10C
       (b) MCO 3900.4D

Encl: (1) LOCATOR SHEET

1. <u>Purpose</u>. To publish information, policy and procedures for
Marine Corps participation in the Department of Defense's
Planning, Programming, and Budgeting System.

2. <u>Cancellation</u>. HQO P3121.2E and HQO 5420.53A.

3. <u>Background</u>. This Manual replaces and substantially revises HQO
P3121.2E. It should be read in its entirety to gain a full
understanding of the Marine Corps participation in the allocation
of Defense resources.

4. <u>Recommendations</u>. Recommendations for changes to this Manual
are invited and should be submitted to the Deputy Chief of Staff
for Requirements and Programs (DC/S R&P) via the appropriate chain
of command.

5. <u>Certification</u>. Reviewed and approved this date.

                          J. R. DAILEY
                          Assistant Commandant
                          of the Marine Corps

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MARINE CORPS PLANNING AND PROGRAMMING MANUAL

RECORD OF CHANGES

Log completed change action as indicated.

Change Number	Date of Change	Date Entered	Signature of Person Incorporated Change
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                 Manual.)

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CHAPTER

MARINE CORPS PLANNING AND PROGRAMMING MANUAL

INTRODUCTION

0001. <u>PURPOSE</u>. To promulgate policies and procedures concerning
the Planning, Programming, and Budgeting System (PPBS) and its
impact upon the United States Marine Corps.

0002. <u>STATUS</u>. The policies and procedures in this Manual apply to
HQMC staff agencies and field commanders.

0003. <u>SCOPE</u>. This is the standard reference document for Marine
Corps participation in the planning and programming phases of the
DoD Planning, Programming, and Budgeting System (PPBS). Included
are planning and programming actions responsive to OSD, the
Department of the Navy (DON), the Joint Chiefs of Staff (JCS), and
the Unified and Specified Commanders-in-Chief (CINC's). The Manual
also addresses the financial aspects of planning and programming.

0004. <u>ORGANIZATION</u>

1. This Manual is organized into chapters identified by an Arabic
numeral as listed in the overall contents.

2. Paragraph numbering is based on four digits. The first digit
indicates the chapter; the next digit, the section, the final two
digits the general major paragraph number; and the combinations
which follow the decimal point, the subparagraph number; e.g.,
3103.3a(2) refers to chapter 3, section 1, general major paragraph
number 03, subparagraph 3a(2).

3. Pages are numbered in separate series by chapter number, with
the chapter number preceding each page number; e.g., the fourth
page of chapter 2 is shown as 2-4.

0005. <u>CHANGES</u>. Interfile changes in the basic Manual in
consecutive order and complete the record of changes page.

CHAPTER 1

THE PLANNING PROGRAMMING AND BUDGETING SYSTEM

FIGURE

CHAPTER 1

THE PLANNING, PROGRAMMING, AND BUDGETING SYSTEM

1000. <u>ORGANIZATION</u>. The PPBS process is complex, involving the
Office of the Secretary of Defense (OSD), Joint Staff, Commanders-
in-Chief (CINC's), military Services, and defense agencies in a
dynamic process. The PPBS itself is a subset of the entire defense
resource allocation process, which, in turn, is part of the Federal
Budget System. Many thousands of people and scores of
organizations are involved.

1. Rules governing the process originate in statutes, presidential
directives, and Department of Defense instructions. However, these
rules are not necessarily mutually supportive. Often, there is an
apparent difference between the way things work and the way they
are supposed to work. This complexity means no one document,
including this Order, can completely explain the process.

2. This Order should be read for general understanding, with
referral to accompanying documents or to staff agencies or commands
directly involved with any one part of the process for detailed
knowledge of any particular aspect. The chapters are designed to
stand alone, but the best understanding of the overall process can
be gained only by careful reading of all the chapters.

3. <u>Education</u>. Various agencies host frequent PPBS classes for
those desiring further understanding. Schedules and attendance can
be coordinated through the DC/S R&P.

1001. <u>INTRODUCTION TO THE PLANNING, PROGRAMMING, AND BUDGETING</u>
SYSTEM

1. Planning, programming, and budgeting are the major actions of
the Commandant, the Force Commanders, the Commanding General Marine
Corps Combat Development Command (CG MCCDC), and the Commanding
General Marine Corps Research, Development, and Acquisition Command
(CG MCRDAC) that initially identify, subsequently develop, and
ultimately control Marine Corps program objectives in response to
Department of Defense (DoD) requirements.

2. These procedures provide for the development of Marine Corps
plans and programs responsive to warfighting requirements derived
from the national military strategy and threat analysis across the
spectrum of conflict. Although designed to address Marine Corps
management responsibilities, they incorporate the techniques,
terminology, and procedures of the DoD, Joint Staff,

and DON planning and programming systems. The PPBS is the vehicle
in which the Services seek to obtain the military capability with
which to discharge their statutory responsibilities. Decisions
respond to or are influenced by assessments and strategic advice
generated by the JCS in the Joint Strategic Planning System (JSPS).
The two systems are separate, but related -- most directly in the
Chairman's Program Assessment (CPA), a JSPS document. Paragraph
1003 provides a synopsis of the JSPS definitively treated in the
most recent edition of DoD Directive 5000.1. (It should be noted
that the JSPS, as described, has not been implemented to date. Due
to difficulties in executing the major revisions in CJCS MOP 7 and
the turbulence in international affairs the JSPS during 1990-1991
did not function as assigned.)

3. <u>Acronyms and Directives</u>. This Order frequently refers to PPBS
procedures and definitions addressed in DoD, DON, and JCS
directives that are applicable to the Marine Corps. Appendix A is
a list of acronyms used in the planning, programming, and budgeting
process. Appropriate directives should be consulted when specific
information is required. See Appendix B for a list of appropriate
directives.

4. <u>The Programming Handbook</u>. This Order defines the basic roles
and functions of various Marine Corps commands and Headquarters
staff agencies concerned with planning and programming matters.
Procedural programming details and instructions specifically
designed to aid action officers are contained in a companion
document, the Programming Handbook. Updated as necessary, this
handbook will eventually become a "paperless document" kept on
standard computer diskettes and made available through planned
computer networks. The Deputy Chief of Staff for Requirements
and Programs (DC/S R&P) maintains current editions available for
copy by any command or agency.

1002. <u>THE DEPARTMENT OF DEFENSE</u>

1. The DoD PPBS establishes management procedures designed to
allocate national defense resources to produce the best possible
force to counter any threat to the nation's security with an
acceptable degree of risk. The PPBS, as defined in the most recent
edition of DoD Instruction 7045.7, is complemented by the defense
acquisition process described in the most recent edition of DoD
Directive 5000.1 and DoD Directive 5000.2. The PPBS provides for:

    a. Submitting, analyzing, reviewing, and approving new and
revised DoD plans, programs, and budgets. Figure 1-1 depicts the
biennial planning, programming, and budgeting cycle for DoD.
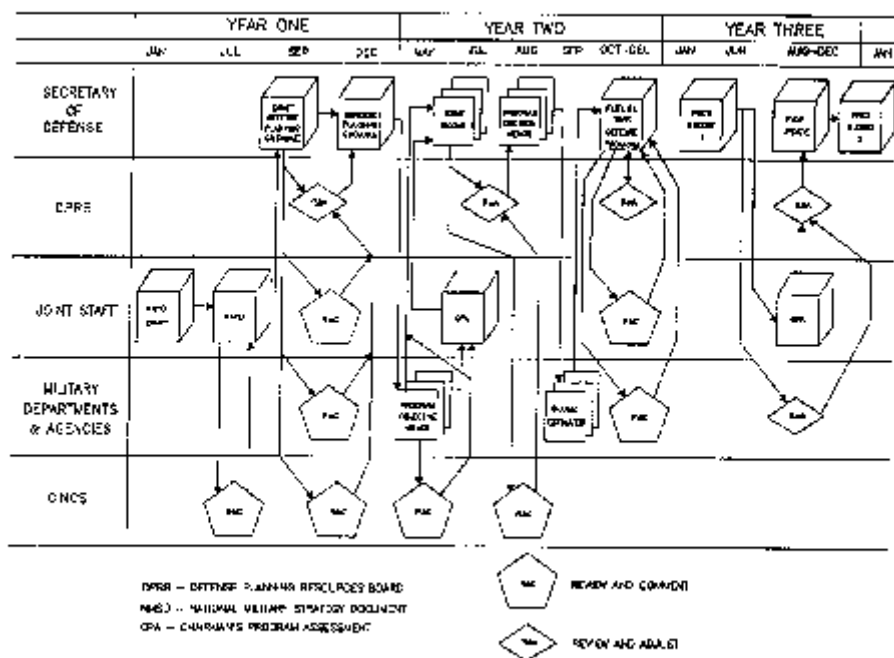
Figure 1-1. --PPBS Documents as a Function of
Time and Organization.

b.   Processing changes to resource allocations reflected in the Future Years Defense Program (FYDP).

2.   The planning and programming portion of the PPBS is, essentially, a series of exchanges between the Secretary of Defense (SecDef), the military departments, the JCS, and the Unified and Specified CINC's, resulting in a defense program documented and displayed in the FYDP. These exchanges take place, in part, through the events and documents listed below and in Figure 1-1.

a.   The JCS submits the National Military Strategy Document (NMSD) to SecDef. The NMSD contains JCS views and advice on strategy and force structure requirements, and recommendations designed to influence the Defense Planning Guidance (DPG). The DPG contains the approved National Military Strategy which serves as the backdrop against which the POM will be assessed in determining the risk to U.S. security and interests.

b.   SecDef issues the draft DPG for DoD component comments. After receipt of these comments and review by the Defense Planning Resources Board (DPRB), the DPG is approved and published. The DPG is the SecDef's guidance to the Departments and Agencies for force planning and programming and for development of Program Objective Memoranda (POM's).

c.   The JCS submits the Chairman's Program Assessment (CPA) to SecDef within 30 days of POM publication. The CPA provides the JCS view of the capabilities, risks, and balance of the aggregate POM force.

d.   The Office of the Secretary of Defense (OSD) generates issues, organized into Issue Books (IB's), to review the POM's and adjust the defense program. The IB's are distributed to the military departments and JCS, and presented to the DPRB for discussion and decision.

e.   SecDef issues Program Decision Memoranda (PDM) which record DPRB decisions and direct the Departments to incorporate these decisions. The DPRB decisions are incorporated into the POM which then becomes the Budget Estimate Submission (BES).

f.   The Comptroller of the Navy (NavCompt) reviews the DON BES prior to its submission to OSD. The purpose of the review is correction of inconsistencies and accommodation of the latest pricing adjustments to avoid adverse OSD Program Budget Decisions (PBD's).

g.   The OSD and the Office of Management and Budget (OMB) jointly review the budget estimates. This review results in PBD's, which change the allocation of resources within each service's budget estimate, and frequently reduce funding to

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unstable programs. Military departments may challenge those PBD's
considered unjustified. Significant differences are addressed as
Major Budget Issues (MBI's), and presented to the DPRB for
consideration and subsequent decision.

     h. The DoD input to the President's Budget is based on
SecDef's final decisions regarding the separate budgets submitted
by the DoD components.

1003. <u>JOINT STRATEGIC PLANNING SYSTEM (JSPS)</u>. (See Figure 1-2)
The JSPS is the formal means by which the CJCS, in consultation
with other members of the Joint Chiefs of Staff and the CINC's,
carries out his resposibility to: assist the President and SecDef
in providing strategic direction of the Armed Forces; prepare
strategic plans; prepare and review contingency plans; advise on
requirements, programs, and budgets; develop policy and doctrine
for joint training and education; and advise on other matters. It
is a flexible and interactive system intended to provide supporting
military advise for the DoD Planning, Programming, and Budgeting
System and strategic rationale for use in the Joint Operation
Planning System. The JSPS comprises plans and documents that are
described in the CJCS Memorandum of Policy #7 (MOP 7). A summary
of the JSPS documents and key relationships follows (See Figure 1-3).

1. <u>Joint Strategy Review</u>. The Joint Strategy Review (JSR)
initiates the strategic planning cycle and is the JSPS process for
gathering information, raising issues, and facilitating the
integration of the strategy, operational planning, and program
assessment. The JSR is a combination of briefings and JCS papers
that provide guidance and support for developing the next
Chairman's Guidance (CG), National Military Strategy Document
(NMSD), and Chairman's Program Assessment (CPA). The JSR briefings
are prepared by the Joint Staff, the Services, and the CINC's.

2. <u>Chairman's Guidance</u>. The Chairman's Guidance (CG) provides
guidance to the Joint Staff and information to the CINC's, the
Services, and SecDef regarding the framework for building the
National Military Strategy Document (NMSD). The CG serves as a
bridge between the initial assessments and conclusions reached
during the JSR and the specific process that builds the NMSD.

3. <u>National Military Strategy Document</u>. The National Military
Strategy Document (NMSD) provides the advice of the Chairman, in
consultation with the other members of the Joint Chiefs of Staff
and the CINC's, to the President, the NSC, and the SecDef on the
national military strategy, the national military objectives, and
the fiscally constrained force required to support the attainment
of the national security objectives of the United States during the
defense planning period covered by the next Defense Planning
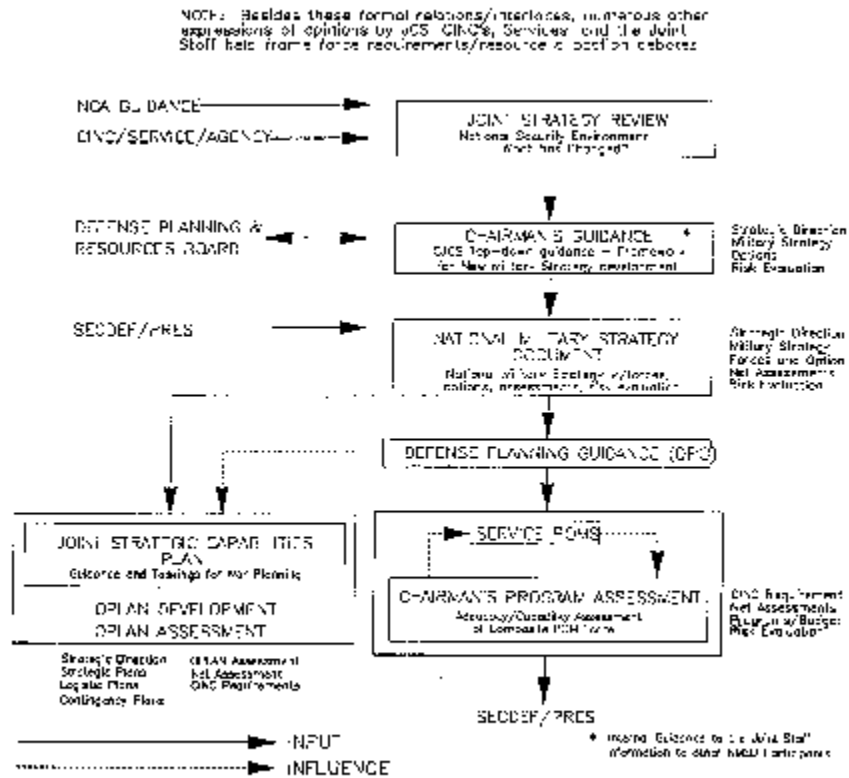
Figure 1-2. --Joint Strategic Planning System Interfaces.

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JOINT STRATEGIC PLANNING SYSTEM

	1990	1991	1992
	J F M A M J J A S O N D	J F M A M J J A S O N D	J F M A M J J A S O N D
JSR	JSR 94-99		JSR 96-01
CG		CG 94-99	CG 96-01
NMSD		NMSD 94-99	
DPG		DPG 94-99	
JSCP	JSCP 92-93		JSCP 94-95
POM	POM 92-97	FOM 94-99	
CPA	CPA 92-97		CPA 94-99
JMNA	JMNA	JMNA	JMNA
OPLANS		OPLANS 92-93	
GFOAR		GFOAR 92-93	

GFOAR: GLOBAL FAMILY OF OPLANS ASSESSMENT REPORT

JMNA: JOINT MILITARY NET ASSESSMENT

NOTE: THIS CHART IS MEANT ONLY TO DEPICT RELATIONSHIPS AND
SEQUENCING AS ESTABLISHED IN CJCS MOP 7. IT SHOULD NOT
BE VIEWED AS AN ACTUAL TIMETABLE.

Figure 1-3. --Planning Sequence

Guidance. The NMSD is reviewed by the SecDef prior to submission of the National Military Strategy to the President. The NMSD maybe used to establish the JCS position on matters of strategic importance for use in NCA-directed actions. The NMSD is provided to the SecDef for consideration during the preparation of the DPG, and the approved NMS will appear in the DPG as the context in which subsequent assessments will be made.

4. <u>Joint Strategic Capabilities Plan (JSCP)</u>. The JSCP issues guidance to the commanders of the unified and specified commands and the chiefs for the accomplishment of military tasks based on near-term military capabilities. This tasking is based on the capabilities of available forces, intelligence information, and the guidance issued by SecDef in the Contingency Planning Guidance. It directs the development of plans to support national security objectives by assigning tasks and apportioning major combat forces to the CINC's of unified and specified commands.

5. <u>Chairman's Program Assessment (CPA)</u>. The Chairman's Program Assessment provides the Chairman's assessment of the composite Program Objective Memorandum (POM) force recommendations to assist the SecDef in decisions on the defense program subsequent to the receipt of the POM's. Prepared with the advice and participation of the JCS, the CINC's, and the Defense Intelligence Agency (DIA), the CPA presents the views of CJCS on the balance and capabilities of the overall POM force and the support levels necessary to obtain U.S. national security objectives.

1004. <u>THE UNIFIED AND SPECIFIED COMMANDERS-IN-CHIEF</u>

1. As detailed in the DoD Reorganization Act of 1986, the Combatant Commanders-in-Chief have gained expanded influence in the PPBS.

2. <u>Integrated Priority List</u>. CINC concerns, articulated in the CINC's Integrated Priority Lists (IPL's), are integral to the develoment of the Marine Corps program. Support of IPL requirements is specifically delineated in the CINC Annex to the DON POM.

3. <u>Responsibilities</u>

     a. The FMF Commanders act as the Marine Corps component link for PPBS matters.

          (1) The Commanding General Fleet Marine Force Pacific (CGFMFPAC) serves as the primary Marine Corps representative to

Pacific Command (USCINCPAC) and Central Command (USCINCCENT) on Marine Corps programming and budget issues.

(2) The CG Fleet Marine Force Atlantic (CG FMFLant) serves as the primary Marine Corps representative to the Atlantic Command (USCINCLANT), to the Southern Command (USCINCSO), and to the European Command (USCINCEUR) on service planning, programming and budget issues. In the case of USCINCEUR, Headquarters, FMF Europe (Designate) is FMFLant's executive agent.

b. The CG MCCDC represents Force Commander's overall interests in all aspects of the PPBS. All HQMC staff agencies represent the Force Commanders' interests within various appropriations according to assigned areas of responsibility.

c. DC/S R&P will produce a POM Serial concerning specific POM development procedures related to those IPL's designated by the various CINC's for the Marine Corps.

d. The Force Commanders may be invited to personally participate in any issue being considered by the senior programming forum, the Commandant's Committee.

4. <u>Process</u>. Force Commanders, the CG MCCDC, and Headquarters staff agencies monitor CINC situation reports continually for USMC deficiencies, and propose solutions for IPL requirements. DC/S R&P will coordinate current programmatic issues (of interest to the Marine Corps) with FMF Commanders, Naval Component Commanders, Unified Commanders, and Navy Resource Sponsors.

a. DC/S R&P, upon receiving IPL's from the OSD (via Joint Staff (J-8)), will evaluate each IPL designated for the Marine Corps and ensure each is staffed to the appropriate functional sponsor who will then be responsible for its proper development and submission.

b. Issue Papers (IP's) are submitted by the Fleet CINC's on each IPL designated for the Navy. These issue papers translate broadly defined capabilities into useable programmatic data. DC/S R&P reviews all Issue Papers of interest to the Marine Corps and staffs relevant IP's to the appropriate Headquarter's agencies for evaluation and comment.

c. To promote effective program development within the Navy-Marine Corps Team, DC/S R&P (and appropriate staff agencies and functional sponsors) will monitor IPL's submitted by the CINC's; addressing issues programmed by the Navy which also are of interest to the Marine Corps.

1005. <u>THE DEPARTMENT OF THE NAVY</u>

1. The DON participation in the PPBS provides for the development of DON concepts, requirements and objectives, and for their presentation to higher authority. The Commandant of the Marine Corps (CMC) and the Chief of Naval Operations (CNO) each develop plans and programs, coordinated as necessary, for submission to the SecNav. The SecNav submits the DON program, and eventually the DON budget, to the SecDef.

2. The DON PPBS activities are responsive to, and operate within, the functional constraints of the JSPS, the DoD PPBS, and the congressional budget cycle.

3. The Department of the Navy Program Information Center (DONPIC) is responsible for gathering, correlating, and displaying program data required to facilitate decisions by the SecNav, CNO, and the CMC. The DC/S R&P is the Marine Corps point of contact with DONPIC.

4. The DON POM submission includes both U.S. Navy and U.S. Marine Corps programs.

5. The CG MCRDAC is the Marine Corps point of contact with the Assistant Secretary of the Navy for Research, Development, and Acquisition (ASN (RD&A)) on all Research, Development, Test & Evaluation (RDT&E) matters. The ASN (RD&A) manages the DON's RDT&E appropriation, including Marine Corps R&D programs, and has the responsibility and authority to act for the SecNav in all matters relating to R&D efforts within the DON.

6. Appendix C is a more detailed explanation of Navy POM procedures.

CHAPTER 2

PRINCIPLES AND GOALS OF THE MARINE CORPS
PLANNING, PROGRAMMING, AND BUDGETING SYSTEM PROCESS

CHAPTER 2

PRINCIPLES AND GOALS OF THE MARINE CORPS
PLANNING, PROGRAMMING, AND BUDGETING SYSTEM PROCESS

2000. <u>INTRODUCTION</u>. DoD, DON, and Marine Corps participation in
the PPBS process is complex and dynamic, requiring the attention
and constant coordination of all involved. This outline orients
system participants to the major philosophies and methods of the
Marine Corps PPBS process.

1. <u>Background</u>. The PPBS is a decision making process for the
allocation of limited resources among many competing requirements.
Its purpose is to most efficiently fund, operate, and support
effective military forces to protect our national security
interests. The process is always working in both the present,
through the budgeting process, and in the future, through planning
and programming, ensuring that all military service programs are
integrated into an overall defense plan.

     a. <u>Planning</u>. In the simplest terms, plans (derived from the
JSPS and also from Marine Corps plans such as The Marine Corps
Campaign Plan, the Marine Corps Long Range Plan, the MAGTF Master
Plan, and the Supporting Establishment Master Plan), threat
assessments, and capability assessments identify warfighting
requirements that become programming objectives.

     b. <u>Programming</u>. Planning forces and fiscal guidance
constraints are translated into achievable packages called
Programs. Programming finds the best match between warfighting
requirements which have become programming objectives (mission
requirements) and the means (financial, human, materiel) to
fulfill them.

     c. <u>Budgeting</u>. Budgeting is the actual execution of our plans
and programs; the application of available resources to recruit,
train, retain, equip, and house Marines, and maintain the Marine
Corps. It is an iterative process. Each decision or action in any
phase affects all other phases.

     d. The Marine Corps and the Navy have a unique relationship
within the DON for allocation of resources within the overall
aegis of the DoD PPBS. This unique status as one of two Services
within one Department is the most significant single factor that
shapes Marine Corps PPBS procedures.

     e. The tasks assigned to the DON require continuous and close
coordination between the Navy and the Marine Corps in all areas of
PPBS. Decision making forums and procedures established by the
Secretary of the Navy (SecNav) facilitate coordination and decision
making at all levels by assessing

joint and supporting capabilities, coordinating goals and
objectives, and distributing resources.

 f. Within these established procedures, programming
responsibilities vary.

  (1) Certain appropriations are the unilateral programming
responsibility of each Service, certain appropriations are
programmed jointly, and certain appropriations contain agreed-upon
shares apportioned between the Navy and Marine Corps.

  (2) The practical effect of these split responsibilities is
that Marine Corps programming decisions are constantly being made
in two different, interactive spheres - within out unilateral
programming responsibilities and jointly within the Navy's
appropriations.

  (3) This in turn drives the Marine Corps to a system
facilitating centralized direction and institutionalized
programming goals accomplished, by necessity under severe time
constraints, through decentralized execution. Our program develops
in many separate places before final consolidation within the DON
Program Objective Memorandum (POM). Close and continuous
coordination is critical.

2. <u>Information</u>. Fielding, equipping, training, and maintaining
the Marine Corps requires able, energetic representation of many
competing demands and judicious allocation of limited resources
based on our plans and mission requirements. Efficient, cost-
effective and mission-effective use of our assigned national
resources (human, financial, and material) requires continuous
challenge and validation of the requirements of all appropriations
and their accompanying programs. Our system challenges both the
stated requirements and the managers of each Marine Corps
appropriation and acquisition project throughout the PPBS cycle to
ensure the best fit of mission and means in a complex and dynamic
national security environment. In this sense, no requirement,
program, appropriation, or acquisition project is ever "finalized"
or immune to challenge. Through continuous challenge, we achieve
the greatest synergism and overall Marine Corps combat
effectiveness.

3. The Marine Corps, as the nation's force in readiness, has
specific, enduring, and recurring requirements for trained Marines;
for modern, effective equipment; and for flexible logistics
support. By satisfying these requirements, the Marine Corps is
able to maintain warfighting capabilities and readiness in the
operating forces and the supporting establishment. The PPBS
ensures that Marine Corps requirements are accurately defined early
in the program development process.

4. Following requirements definition, the process must fully
identify the resources to support the requirement and explicitly
compare individual requirements in the context of available
resources. The Marine Corps is best served when both the ultimate
users and those charged with monitoring emerging technologies
portray their unconstrained requirements. Those charged with
considering performance and cost trade-offs within fiscal
constraints (the Headquarters staff, MCCDC, and MCRDAC) assess and
balance these unconstrained requirements versus available resources
to determine the best match between requirements and resources.

5. Following requirements identification and a review of training,
doctrine and structure implications, fully costed systems are
defined that fulfill the requirement.

6. The Marine Corps PPBS process, beginning with early
requirements identification, determination, and validation,
provides for a continuous challenge or "scrub" of requirements and
their supporting programs. In this way we achieve a total program
that best fits the needs and mission of the Marine Corps within
fiscal limitations. At the same time, the process remains
responsive and flexible to Force Commander and CINC demands, as
well as to shifting fiscal guidance.

2001. PRINCIPLES AND GOALS OF THE MARINE CORPS PPBS PROCESS.

The Marine Corps system is organized to support the following
principles and goals:

1. Clear Command Channels. The specific charters of MCCDC and
MCRDAC firmly establish direct command responsibility for
requirements determination and validation, MAGTF program advocacy,
and systems acquisition.

2. Communications With Users. Through established procedures
between the Headquarters staff, MCCDC, and MCRDAC, communication
with the users, in our case the Force Commanders, is maintained.
With the Force Commanders' involvement both through MCCDC and
directly through various programming forums, requirement and
program trade-offs are made as developmental, programmatic, and
fiscal problems arise.

3. Shortened Acquisition Cycle. One command, MCRDAC, is
responsible for the total research, development, and acquisition
cycle to reduce the time needed to field new equipment.

4. Continuous Visibility and Evaluation of Requirements and
Corresponding Programs. Established command and staff procedures
ensure continuous examination and evaluation of requirements and
needs compared to expected resources. This maintains the
advantages of advocacy of requirements and corresponding programs

by the forces and the program managers while providing for
independent examination and validation from all perspectives.

5. <u>Concept-Based Requirements System</u>. This system provides an
orderly process for developing concepts, determining requirements,
and identifying and prioritizing required warfighting capabilities.
The end result is a prioritized listing of Marine Corps required
warfighting capabilities which are tied to valid warfighting
concepts. These prioritized requirements form the basis for Marine
Corps program development.

6. <u>Balanced Marine Corps</u>. The Marine Corps utilization of the
PPBS permits competing requirements and limited resources to be
integrated in a manner which supports the development of a balanced
Marine Corps - a Corps whose warfighting capabilities are
continually improved and whose readiness is maintained.

2002. <u>PRINCIPLES OF THE MARINE CORPS PPBS ORGANIZATION AND
PROCEDURES</u>. The Marine Corps PPBS organization and procedures are
designed to reduce a complex, unstructured situation into its
essential elements, organizing those elements into a logical and
consistent format and communicating the results effectively. Most
importantly, this system explicitly integrates the expertise and
professional judgment of the military officer and senior defense
executive with a rational decision process and applicable tools and
techniques. The objective is to provide a framework for better
decision making in a complex resource allocation problem.

1. <u>Professional Military Judgment</u>. The military decision maker
(including the senior defense executive) has a well developed
background of military experience, sufficiently tested and proven,
to establish credible military judgment. Such judgment cannot
normally be developed from a textbook. It must be based on
exposure to a broad range of military experiences, including
combat, real or simulated, where judgment under stress has been
tested; command and staff assignments, where the importance of the
mission and the need to set priorities has been unmistakably
learned; and managerial tasks, where the officer has learned the
meaning of limited resources and ever-increasing requirements.

2. <u>Tools and Techniques</u>

    a. Many tools and techniques applicable to complex resource
allocation decisions have come from the disciplines of management
science and operations research. They are, for the most part,
processes which have developed over the years to model, quantify,
and solve the mathematical computations that occur in most complex
problems. They are used to help the decision maker by providing
ways to simplify, present, and evaluate data (statistical
analysis), to compare alternatives (utility theory, linear
programming, queueing, simulation), or to carry out decisions
(networks, sampling).

These quantitative processes can be as simple as the averaging of several data points into a single representative value or as complicated as a global war game.

    b. With few exceptions, all these techniques can be understood at the conceptual level, leaving the technical competence to the specialists. It is important that decision makers understand the concepts and assumptions, applicability, and output behind a particular technique to determine its worth in a given decision situation.

3. <u>The Decision Process</u>. For quick, simple, or repetitive situations, the decision process is a mental one. As we move toward larger and more complex decisions, we eventually exceed our capability to organize and evaluate all the details at once. At these more difficult levels of decision making, we are forced to use external means such as written calculations and notes or diagrams to assist the mental activity. Examples of explicit decision processes in the military are our sequence of command and staff actions, and many of the joint planning processes.

CHAPTER 3

ORGANIZATION AND PROCEDURES OF THE MARINE CORPS
PLANNING, PROGRAMMING, AND BUDGETING SYSTEM PROCESS

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CHAPTER 3

ORGANIZATION AND PROCEDURES OF THE MARINE CORPS
PLANNING, PROGRAMMING, AND BUDGETING SYSTEM PROCESS

3000. <u>INTRODUCTION</u>. Because all DoD resources are allocated
through the PPBS process, it requires the full and knowledgeable
participation of MCCDC, MCRDAC, Commands, the Force Commanders, the
Headquarters staff and others. Through our internal PPBS process,
Marine Corps resource allocation issues are raised and developed,
and decisions made.

3001. <u>RESOURCES</u>. DoD allocates resources according to the
continually evolving PPBS process. The Marine Corps, as a separate
service within the DON, has its own continually evolving system
that responds to both the DON and the DoD. Chapter 7 provides
details of the Navy Program Development Process.

1. The "Marine Corps POM" that we produce is actually the Marine
Corps submission to the DON POM. You will not find a discrete
Marine Corps portion of the DON POM, but each volume of the DON POM
is divided into a Navy section and a Marine Corps section. The
Marine Corps section applies to the Marine Corps Total Obligation
Authority (TOA) submission to the Navy.

2. As a result of this unique relationship within the DON, we
consider three types of resources - commonly called green, blue-in-
support-of-green, and blue, as we make Marine Corps resource
allocation decisions.

    a. "Green dollars" are the resources that we unilaterally
program. These are the Marine Corps appropriations of Military
Personnel (MPMC); Reserve Personnel (RPMC); Operation and
Maintenance for both the active and the reserve forces (O&MMC and
O&MMCR); and Procurement, Marine Corps (PMC). Also within "green
dollars" are Marine Corps portions of the Department of the Navy's
Military Construction (MCON), Military Construction Naval Reserve
(MCNR), Navy Stock Fund (NSF), and Family Housing Management
Account (FHMA) appropriations. "Green Dollars" constitute the sum
of the Marine Corps TOA.

        (1) A detailed, standing, Navy-Marine Corps agreement,
approved by the Assistant Secretary of the Navy for Financial
Management, determines the amount of the Department of the Navy's
total resources that will be devoted to "green dollars." This
agreement is colloquially called the "Blue-Green Split."

        (2) After the Department of Defense determines the defense
resources that will be devoted to the DON, the Blue-Green Split
determines the resources that will be devoted to "green dollars."
The Marine Corps then determines the

amount of resources that will be devoted to Marine Corps needs in all the above appropriations.

   b. "Blue-in-support-of-green dollars" are those resources programmed jointly by the Navy and the Marine Corps. The amount of DON resources in this category is not fixed. It depends on particular circumstances during POM development. These resources primarily support our aviation requirements under the broader classification of Naval Aviation, and generally provide assests used directly by Marines. Certain items of communications gear may also fall in this category.

   c. The third category, "blue dollars," are all the other parts of appropriations where the Marine Corps has substantial interest, but little direct involvement in decisions (albeit much indirect involvement is generated through staff channels/liaison officers to influence the decision making). For example, amphibious ships and landing craft are within the DON's Shipbuilding and Conversion (SCN) appropriation. Figure 3-1 shows a typical relationship of the relative magnitude of these types of resources, and Figure 3-2 shows what types of appropriations generally contribute to "blue-in-support-of-green."

3. <u>RDT&E</u>. Research and Development resources are yet another unique programming category. A portion of the DON's R&D resources are the unilateral programming responsibility of the Marine Corps. Another portion is programmed by the Navy to items of high Marine Corps interest, like developing aircraft. These are determined by an agreement different than the "Blue-Green Split," and are not traditionally referred to as "green" or "blue" in the same sense as the other appropriations.

3002. <u>STAFF INPUT TO DEVELOPMENT OF THE PROGRAM.</u> The Headquarters, Marine Corps (HQMC) staff, in coordination with MCCDC and MCRDAC, develops the Marine Corps program before submission to the DON.

1. The HQMC staff's primary responsibility is for external and joint matters, service-wide policy (less specific matters assigned to MCCDC and MCRDAC), and non-FMF matters.

2. The CG MCRDAC is responsible for research and development, implementing DON acquisition policies, and Program Executive functions. He also has responsibility for bringing material acquisition projects from R&D into full fielding.

3. The CG MCCDC has primary responsibility for MAGTF matters, training and education, and all aspects of the Fleet Marine Force.

DEPARTMENT OF THE NAVY TOA: SERVICES' SHARES
(REPRESENTATIVE DISTRIBUTION)

"BLUE IN SUPPORT OF GREEN"
4% OF DON TOA

BLUE DOLLARS

NAVY
"BLUE DOLLARS"
91% OF DON TOA

GREEN
DOLLARS

MARINE CORPS
"GREEN DOLLARS"
9% OF DON TOA
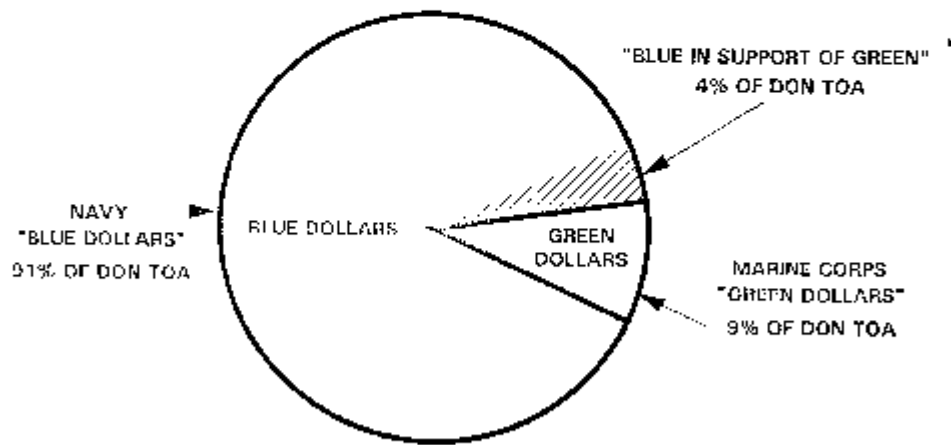
"Blue in Support of Green" is considered a part of Navy (blue) dollars.

Figure 3-1. --Relationship of Blue, Green, and Blue in
Support of Green Dollars

3-5
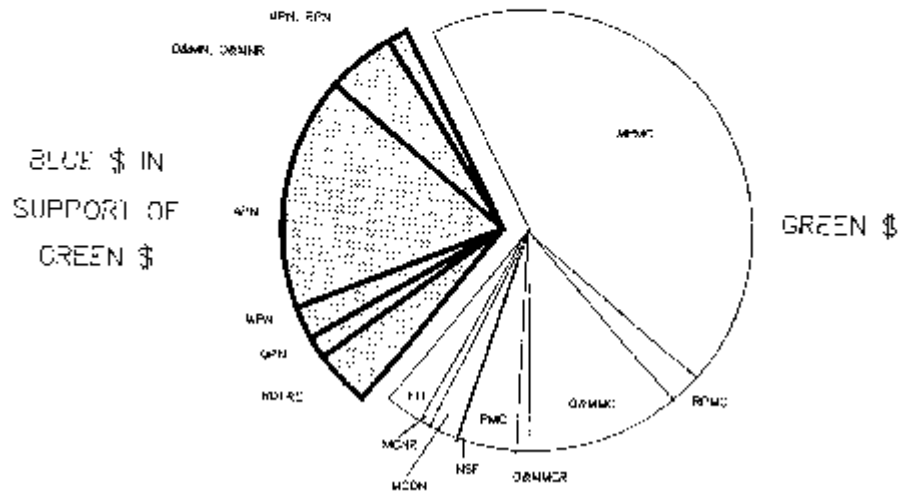
Figure 3-2. --Navy Appropriations Which Generally Contribute
to Blue in Support of Green.

3003. PROGRAMMING FORUMS. We develop our program with wide
involvement from all commands and staff agencies. Three standing,
and active, programming forums accomplish the rapid inter-agency
and inter-command staffing necessary under ever-present time
constraints. These forums, the POM Working Group (PWG), the
Program Review Group (PRG), and the Commandant's Committee, are
purposely designed to refine program recommendations through
progressive levels from officers with the most recent operational
experience at the battalion and squadron level upward through the
senior leadership. Specific divisions of responsibility ensure the
development of an integrated program without limiting participation.
Figure 3-3 shows some of the duties of these groups and committees.

1. POM Working Group (PWG). The PWG is the forum that coordinates
initial staff action for development of the Marine Corps POM. It
tracks the POM through the DON and DoD staffing levels, assisting
as requested, until it becomes budget. The PWG also serves as an
initial staffing forum to recommend programmatic decrement
appointment. The group draws membership from action officers
representing each member of the Commandant's Committee and other
representatives as desired. The PWG is chaired by a representative
of the DC/S R&P.

    a. Primary tasks during program development are identification
and correction of major deficiencies within the Marine Corps
program.

    b. The PWG constructs a complete 6-year program, integrating
all appropriations, that complies with guidance and priorities
while remaining within fiscal constraints.

    c. The recommended program, along with any issues, is
presented to the PRG for evaluation and adjustment prior to
submission to the Commandant's Committee.

    d. The PWG also responds to any other tasks as directed.

2. Program Review Group (PRG). The PRG is the primary inter-
agency and inter-command forum for coordinating Marine Corps
participation in Navy and DON programming developments. The PRG
also reviews POM development issues after their identification by
the POM Working Group but prior to their presentation to the
Commandant's Committee. The PRG resolves all but the major issues
and assesses overall program balance. Membership consists of
senior representatives of each member of the Commandant's
Committee. The PRG may also go in session according to the same
general rules as the Commandant's Committee. The DC/S R&P is the
PRG chairman.

3. Commandant's Committee. The Commandant's Committee is the
highest level planning, programming, and budgeting forum within

PCM WORKING GROUP

PROGRAM REVIEW GROUP

COMMANDANT'S COMMITTEE

REVIEW OF CURRENT PROGRAM
IDENTIFY DEFICIENCIES
PRIORITIZE INITIATIVES
IDENTIFY PROGRAM ISSUES
DEVELOP ALTERNATIVES
AFFORDABILITY ASSESSMENT
RECOMMEND BALANCED PROGRAM

ASSESS WARFIGHTING CAPABILITIES
REVIEW PROGRAM ISSUES
ASSESS PROGRAM BALANCE
GUIDANCE
RECOMMEND PROGRAM

GUIDANCE DECISION

POM
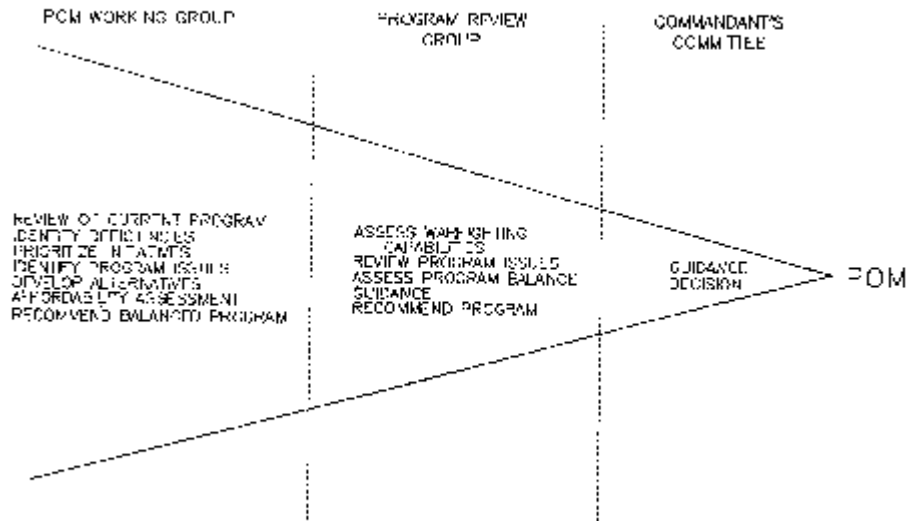
Figure 3-3. --USMC Programming Forums and Their Functions.

3-8

the Marine Corps. The Commandant's Committee approves the Marine Corps Program. CMC is chairman of this committee.

   a. The functions of the committee, in part, are to:

      (1) Consider plans, programs, and studies associated with Marine Corps, Navy, DON, joint, combined, and DoD planning, programming, and budgeting matters.

      (2) Discuss, at the call of the chairman, any subject which requires an open forum for the Marine Corps senior leadership.

      (3) Develop recommendations to CMC for decision.

   b. Members of the committee are:

      - Commandant - Chairman
      - Assistant Commandant
      - Deputy Chief of Staff for Plans, Policies, and
              Operations (DC/S PP&O)
      - Deputy Chief of Staff for Manpower and Reserve
              Affairs (DC/S M&RA)
      - Deputy Chief of Staff for Installations and Logistics
              (DC/S I&L)
      - Deputy Chief of Staff for Aviation (DC/S Avn)
      - Commanding General, Marine Corps Combat Development
              Command (CG MCCDC)
      - Fiscal Director of the Marine Corps (FDMC)
      - Commanding General, Marine Corps Research,
              Development, and Acquisition Command (CG MCRDAC)
      - Deputy Chief of Staff for Requirements and Programs
              (DC/S R&P)
      - Assistant Chief of Staff, Command, Control,
              Communications and Computer, Intelligence and
              Interoperability (AC/S C4I2)
      - Legislative Assistant to the Commandant
      - Director of Public Affairs
      - Deputy Naval Inspector General for Marine Corps
              Matters/Inspector General of the Marine Corps
      - Counsel for the Commandant
      - Staff Judge Advocate to the Commandant

   c. The policy of the Commandant's committee is that:

      (1) The DC/S PP&O is the committee coordinator for joint and combined planning matters. He is the single point of contact for administrative arrangements incident to scheduling committee meetings dealing with planning actions external to the Marine Corps.

      (2) The CG MCCDC is the committee coordinator for internal Marine Corps planning and FMF requirements determination matters. He is the single point of contact for

administrative arrangements incident to scheduling committee meetings dealing with those subjects.

        (3) The DC/S I&L is the committee coordinator for supporting establishment matters.

        (4) The DC/S R&P is the committee coordinator for programming matters. He is the single point of contact for administrative arrangements incident to scheduling committee meetings dealing with programming.

        (5) The FDMC is the committee coordinator for budgeting matters. He is the single point of contact for administrative arrangements incident to scheduling committee meetings dealing with budgetary matters.

        (6) The CG MCRDAC is the committee coordinator for systems acquisition and research and development matters. He is the single point of contact for administrative arrangements incident to scheduling committee meetings dealing with research and development or systems acquisition matters.

        (7) The Secretary of the General Staff (SGS) is the committee coordinator for all other matters brought before this forum. Any committee member may submit a proposed agenda item to the SGS for approval.

        (8) In the event the principal cannot attend a meeting, his deputy may attend.

3004. <u>PROGRAMMING COMMITTEES AND PROGRAM DEVELOPMENT</u>

1. The first of the standing programming committees, the PWG, studies all requests for above-core resources and recommends a balanced program, covering all appropriations and providing the best fit between many competing requirements and very limited resources.

    a. The recommendation of the PWG, based on the PEG's approved relative benefit list, the relative benefits for other appropriations, mathematical modeling, and decision-analytic techniques, chooses between program options and attempts to achieve the greatest benefit/dollar, or "bang for the buck," for the Marine Corps.

    b. Additionally, the final recommended program from the PWG establishes a strategy to quickly adjust our total program to changes in fiscal guidance - up or down - as the program passes to budget.

    c. Although many techniques are used, the PWG's recommended program is solidly based on the military judgment of of a group of

professional officers charged with recommending what is best for the Marine Corps without parochialism.

    d. The PWG's recommendation is the first integrated "green dollar" program.

2. The PWG's recommended program passes to the PRG (Program Review Group) composed of each DC/S, Assistant Chief of Staff (AC/S), MCRDAC, the Warfighting Center, the Training and Education Center, and special staff sections.

    a. This group studies the PWG's recommended program and directs appropriate additional study and changes.

    b. The PRG also reviews the recommended "green dollar" program against the emerging "blue" and "blue-in-support-of-green" programs to ensure a well coordinated and synergistic total program.

3. The PRG's recommended program passes, in turn, to the Commandant's Committee for approval or changes as desired.

    a. This committee is composed of the senior leadership of the Marine Corps.

    b. Force Commanders are invited to participate in these deliberations.

    c. The Commandant directs any desired changes, and approves the final program, or POM, submission.

4. Following that submission, the Marine Corps and Navy program submissions are integrated, and together they pass through the highest decision levels within the DON for negotiated adjustments as necessary.

    a. Thus, the total Marine Corps program presented to the Secretary of the Navy through the proposed DON POM includes all the "green dollar" appropriations that we unilaterally program, plus those Marine Corps requirements met through parts of the "blue" appropriations programmed through the Navy programming process.

    b. Daily personal involvement of the Chief of Naval Operations and the Commandant of the Marine Corps is common through this final adjustment and approval stage.

    c. After approval by the Secretary of the Navy, a DON POM is submitted to DoD.

5. Our program's subsequent success depends on how well we have coordinated our plans (joint, naval and unilateral) with our programming and our budgeting.

a. The POM submission is merely a point in the continuing dialogue between the Services, the Joint Staff, and the Department of Defense.

b. A carefully considered and crafted program that conforms to the most urgent priorities of the service and the national military strategy, within fiscal limits, will survive examination and accommodate necessary changes.

3005. <u>EXTERNAL GUIDANCE</u>. Major external guidance affecting our requirements development and resource allocation are DoD's Defense Planning Guidance (DPG), the Department of the Navy Consolidated Planning and Programming Guidance (DNCPPG), the Unified Commanders Integrated Priority Lists (IPL's), the CINC's Warfighting Requirement System, the Base Case Assessment, and the Joint Military Strategy Document, among others.

1. The IPL's are the CINC's way of telling OSD, JCS, and the Services their concerns and needs within the resource allocation process. FMF Commanders and Action Officers from HQMC (RPP/ Coordination) represent these interests throughout the process.

2. Figure 3-4 shows how this guidance affects our programming considerations.

3006. <u>IDENTIFYING WARFIGHTING REQUIREMENTS</u>. Marine Corps plans, threat assessments, and our capability estimates identify warfighting requirements that, after validation, become programming objectives. These plans, assessments, and estimates include the Marine Corps Campaign Plan (MCCP), the Marine Corps Long Range Plan (MLRP), the MAGTF Master Plan (MMP), the Supporting Establishment Master Plan (SEMP), and the various supporting plans, warfighting assessments, and program assessments.

3007. <u>ENHANCING CAPABILITIES</u>. The CG MCCDC is responsible for enhancing the operational capabilities of our MAGTF's. He identifies FMF requirements, and recommends priorities among requirements and among initiatives that meet those requirements. He participates in resource allocation and monitors execution of appropriate programs as the Force Commanders' direct representative.

1. MCCDC, MCRDAC, and the HQMC staff functional sponsors represent interests across the entire Marine Corps, developing and continually evaluating priorities (by requirement and by program) within their assigned areas.
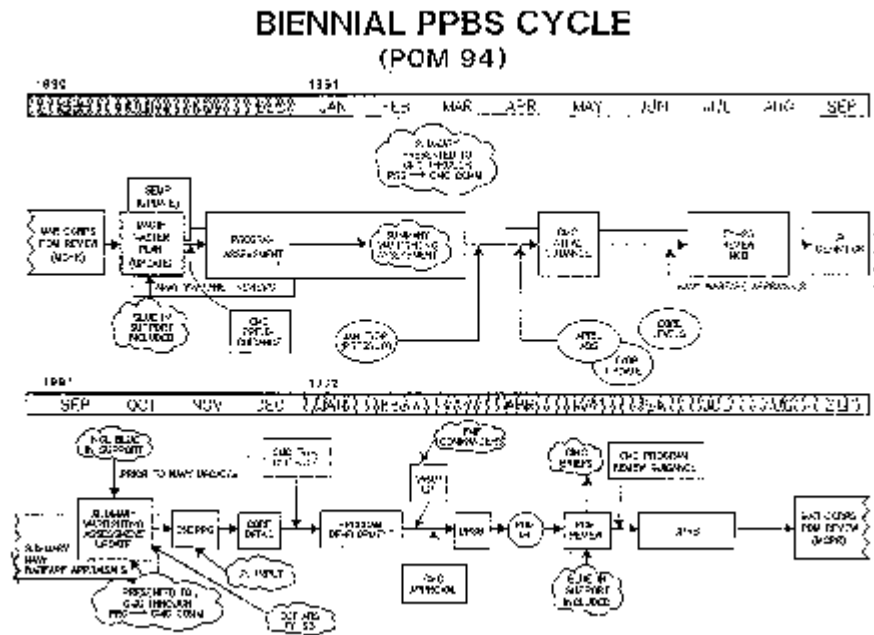
Figure 3-4. --External Factors Affecting Marine Corps Requirements
Development and Resource Allocation.

2.   These areas include Aviation; Installations and Logistics; Plans, Policies & Operations; Command, Control, Communications and Computer, Intelligence and Interoperability; Manpower and Reserve Affairs; Training and Education; Research, Development, and Acquisition; and others.

3008.   <u>ESTABLISHING CORE FUNDING LEVELS</u>.   Core funding levels, artificially set below expected fiscal guidance, are developed by DC/S R&P for each appropriation and many subdivisions of appropriations.   Core funding levels are established as a prediction of the future (POM year) fiscal environment.

1.   These core levels generally protect the highest priority current-capability procurement programs - those allocated budget-year resources in previous programming cycles.   Placing certain programs within core helps to promote continuity and program effectiveness.

2.   They also protect the resources needed to maintain currently fielded items and the highest-priority needs of the nonprocurement appropriations.   The most important programs of each appropriation are placed within the core funding levels.

3.   Programs not placed in the appropriation's core compete for remaining Marine Corps resources.   Staffing through the Program Committees will develop and refine the recommended allocation of resources above the core levels.   See Paragraph 7004.1 for amplifying instructions.

3009.   <u>RANKING INITIATIVES</u>.   The CG MCCDC ranks all candidate MAGTF tactical materiel POM initiatives and MAGTF structure and manning initiatives, by urgency and suitability to best meet the needs of the Fleet Marine Force.   These include those "blue" and "blue-in-support-of-green" POM issues that must be programmed through the appropriate Navy resource sponsor.   This ranking is solidly based on the CG MCCDC's professional military judgement of the value of these various initiatives and their contribution to the needs identified in the MAGTF Master Plan.

3010.   <u>BENEFIT VALUES</u>.   All those agencies submitting procurement projects for consideration assign discrete benefit values to their recommended procurement items, similarly based on professional judgement.   Those POM issues that do not involve procurement items, including operation and maintenance, civilian and military manpower, military construction, family housing, and training are often considered as groups of smaller requests.   For example, many relatively small operation and maintenance issues (i.e., many individual upgrades to various base telephone systems) may be considered as a relatively larger group under the category of

supporting communications. Chapter 8 provides amplification of the benefit determination process.

3011. <u>PPBS AND THE ACQUISITION PROCESS</u>

1. Marine Corps participation in the DoD PPBS provides for requirements determination and development, followed by comparison and selection of alternatives, and continuous appraisal of programs and requirements. Because our total program is a mixture of both Marine Corps and Navy appropriations, commonly known as "green," "blue," and "blue-in-support-of-green" dollars, our PPBS participation requires continuous attention and coordination, both within the Marine Corps and within the DON.

2. Execution of Marine Corps PPBS activities requires coordinated execution of planning, programming, and budget functions, and efficient integration of the systems acquisition process. Planning and programming actions, together with supporting studies and appraisals, are continuous and concurrent efforts. The budget function is cyclical, concerned principally with 1-year or 2-year segments driven by congressional action. Directed by MCRDAC, the systems acquisition process ensures maximum efficiency between conception and fielding of new equipment to meet validated Marine Corps requirements. Among the many responsibilities of MCRDAC are life-cycle cost determination and reduction, high-level program reviews, and the pacing of program execution based on demonstrated feasibility and operational suitability. This Manual addresses planning and programming, but these cannot be understood without a working knowledge of the systems acquisition process and the relationships between the planning, programming, and budgeting process and systems acquisition. Figure 3-5 illustrates the DoD Systems Acquisition Process.

    a. <u>Planning</u>. Planning determines Marine Corps forces and capabilities necessary to best support Marine Corps roles, missions, and tasks in support of national security objectives. Planning is ultimately derived from national policy, and is the primary basis for programming actions, which eventually lead to budget decisions.

    b. <u>Programming</u>. Programming connects the plans to the budget. Programming translates plans and their supporting requirements into specific descriptions of personnel, materiel, systems, and resources, that permit best execution within expected fiscal limitations. Various inter-departmental and inter-command forums develop the program through levels of staffing, considering requirements and means against Marine Corps priorities and resources. Programming further carries the Marine Corps
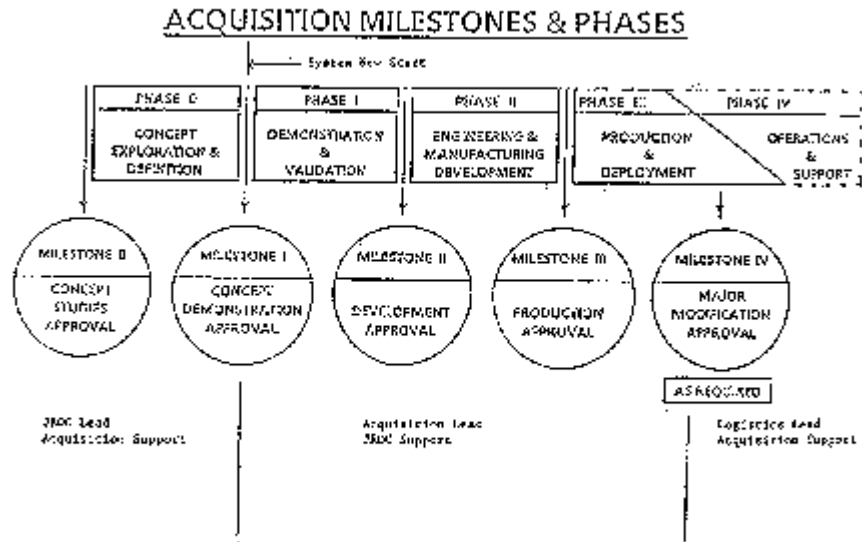
Figure 3-5. -- Phases of the DoD Systems Acquisition Process.

program, embodied in the DON POM, through secretarial channels, to the SecDef, for final DoD decisions. The SecDef decision is the basis for Marine Corps budget development.

   c. Budgeting. The plans and programs developed and submitted by the military services, as approved by SecDef, constitute the military services' entry into the budget cycle. Current editions of Marine Corps budget documents explain detailed budget procedures and functions.

   d. Systems Acquisition. Programs for systems acquisition integrate closely with the PPBS through detailed procedures and continual coordination. Structured, formal systems acquisition reviews, known as Marine Corps Program Decision Meetings (MCPDM's) and In Process Reviews (IPR's), evaluate program progress in relation to requirement objectives and specific technical criteria appropriate to each phase of the acquisition process. The decisions of these reviews greatly affect procurement profiles and subsequent programming strategies.

3012. COMMAND AND STAFF COORDINATION FOR MARINE CORPS PLANNING AND PROGRAMMING

1. The CMC makes ultimate Marine Corps planning, programming, and budgeting decisions.

2. The DC/S R&P coordinates the participation of MCCDC, MCRDAC, and the Headquarters staff in all phases of the PPBS process for CMC.

3. The CG MCCDC is responsible to CMC for FMF requirements determination. His responsibilities are explained in detail elsewhere in this Order and in other directives.

4. The CG MCRDAC is responsible for all those system acquisition matters within both the R&D and the Procurement, Marine Corps appropriations, from concept formulation through fielding (normally through attainment of an established operational capability). Responsibility for system management normally passes to Marine Corps Logistics Base, Albany, when CG MCRDAC has completed his system acquisition duties. CG MCRDAC responsibilities are detailed elsewhere in this Order and in other directives.

3013. SUMMARY. The PPBS provides for Marine Corps participation in modifying the FYDP to reflect the current Marine Corps program. This participation occurs in both departmental and JCS channels. Specific information relative to the planning and programming phases of the cycle, and general information about the budgeting phase, are in the following chapters. Detailed, action-officer level instructions are in subsequent chapters, in

the Programming Handbook, and in POM Serials published at
appropriate times by the DC/S R&P.

CHAPTER 4

MARINE CORPS PLANNING

CHAPTER 4

MARINE CORPS PLANNING

4000. <u>GENERAL</u>. The Marine Corps plans within the DoD PPBS through development of documents comprising the Joint Strategic Planning System (JSPS), strong participation in the Navy program planning process, and development of unilateral Marine Corps long-range, mid-range, and short-range plans. The DC/S PP&O is the Marine Corps executive agent for participation in the JSPS. The CG MCCDC is responsible for development of MAGTF-related internal plans. The DC/S R&P is the Marine Corps executive agent for participation in the Department of the Navy programming process. He ensures coordination and consistency of programming efforts to support joint, naval and unilateral planning efforts. Other staff agencies are responsible for Marine Corps plans in assigned areas. Close and continuous coordination and active participation by all concerned maximize the Marine Corps contribution to both naval and national military strategy.

4001. <u>JOINT PLANNING</u>. The Joint Strategic Planning System (JSPS) is the formal mechanism designed to support the Chairman and the other members of the JCS in the execution of their responsibilities for strategic planning and the rendering of advice to the National Command Authority. Chapter 1 has already addressed the plans and documents that are integral to the JSPS.

4002. <u>MARINE CORPS PLANNING</u>

1. Military planning follows two separate paths, force development planning and operational planning. Force development planning deals with the creation and maintenance of military capabilities. It is largely the responsibility of the military departments, although the Joint Chiefs of Staff (JCS) provide strategic advice, and the Office of the Secretary of Defense (OSD) provides managerial coordination. Operational planning is directed toward the employment of military forces within the context of a military strategy.

    a. USMC force development planning consists primarily of four service plans, the Marine Corps Campaign Plan (MCCP), which provides the Commandant's intent for the Marine Corps of the future; the Marine Corps Long-Range Plan (MLRP), which defines the Corps' long-range goals; the MAGTF Master Plan (MMP), which bridges the gap between planning and programming by providing mid-term direction through prioritized statements of required capabilities; and the Supporting Establishment Master Plan (SEMP), which is the non-FMF equivalent of the MMP.

This planning process is marked by a continual assessment of the threat and technology advances, and the development of concepts, strategies, and solutions to maintain combat ready MAGTF's. Collectively these plans guide, direct, record, and support the force development process. The CG MCCDC is responsible for the MCCP, MLRP, and the MMP. The DC/S I&L is responsible for the SEMP.

    b. Internal Marine Corps operational planning within PPBS consists primarily of the Marine Corps Mobilization Management Plan (MPLAN), and the Marine Corps Capabilities Plan (MCP). These two plans indicate to the joint arena how the Marine Corps would mobilize in the event of a crisis, and the current capabilities that the Marine Corps can offer a joint commander. The DC/S PP&O has the responsibility for these two plans.

2. <u>Marine Corps Campaign Plan (MCCP)</u>

    a. <u>General</u>. The MCCP is the foundation document for Marine Corps Service Planning. It reflects defense policies, CINC requirements, and fiscal and political constraints derived from the DPG. It also provides CMC's viees on the Nation's security needs and his guidance for allocating Marine Corps resources to achieve capabilities which best serve the national interest. Broad in scope and applicable to the entire Marine Corps, the MCCP examines the contribution of the Marine Corps to national security, the probable missions of Marine forces, and the expectations and limitations for total force employment.

    b. <u>Scope</u>. The Campaign Plan also serves as an enduring statement of the central values, tenets, convictions, and doctrinal principles of the entire Marine Corps organization. In this last purpose, it serves as a guide for all Marines tasked to articulate overall Marine Corps goals and objectives.

3. <u>Marine Corps Long-Range Plan (MLRP)</u>

    a. <u>General</u>. The MLRP is a key document in both force development and PPBS. It defines the long-range (10-30 years) goals of the Marine Corps, outlining concepts and capabilities considered essential for the future. Based on the Commandant's guidance provided in the MCCP and future threet and technology projections, the MLRP makes general assumptions about the future operational environment. Thus, the MLRP serves to focus both force structure and research and development efforts on projected national strategies, and assesses how the Marine Corps would support those strategies through military capabilities.

    b. <u>Scope</u>. The primary sources for development of the MLRP are long-range assessments, threat projections, and technological forecasts. The MLRP addresses the transition between approved mid-range capabilities provided by advancing technology, and future strategy considerations. It deals with qualitative goals rather than resource or structure

requirements. It is subject to review and revision every 4 years;
however, there is a biennial review of the proposed concepts of
operation, and the organizational and materiel objectives.

4. Marine Corps Mobilization Management Plan (MPLAN)

    a. General. The MPLAN sets forth policies, procedures, and
responsibilities for mobilization of the Marine Corps, and provides
guidance for attainment of specific mobilization levels. All
mobilization data and other related information from other
directives is combined into this single-source document.

    b. Scope. The MPLAN contains a basic plan with supporting
annexes. The basic plan provides background, general direction,
responsibilities, concepts, and policy guidance. The annexes
provide additional details addressing specific, functional, and
resource topics, tasks, and mobilization subject matter.

5. MAGTF Master Plan (MMP)

    a. General. The MMP establishes the operational foundation
for the organization, manning, equipping, training and development
of doctrine and operational techniques for MAGTF's in the mid-range
(2-10 years). It provides the basis for capability assessments,
requirements determination, and guides program development. The
MMP contributes to force development by articulating the
operational capabilities and actions required to update/improve
doctrine, training, structure and materiel. A key element in both
PPBS and CBRS, the MMP links concept development, requirements
determination, and combat development to produce a prioritized
statement of achievable required capabilities. This listing of
required capabilities provides the foundation and justification for
Marine Corps input to the DON POM.

    b. Scope. MMP development precedes the beginning of the Navy
and the joint program planning processes. It provides the solid
planning foundation for the beginning of our programming efforts to
support the total Marine Corps program. It is published beinnially
by the CG MCCDC based upon the Commandant's guidance, and updated
annually.

6. Supporting Establishment Master Plan (SEMP)

    a. General. The SEMP is the non-FMF counterpart of the MMP.
Developed concurrently with the MMP, the SEMP coordinates resource
requirements between the FMF and supporting establishments to
achieve maximum support for the objectives listed in the MMP.

    b. Scope. The non-FMF supporting establishment objectives are
detailed in the SEMP supporting plans. These supporting

plans provides for program development for the non-FMF and
supporting establishment.

4003. <u>NAVY PLANNING</u>. The Navy's planning process is described in
the Department of the Navy Programming Manual. The Navy's Program
Planning phase, a lengthy process including a strategy apprisal and
other subordinate warfare appraisals, is critical to the
development of the DON POM. The results of these appraisals become
the philosophy for building the DON program and the foundation for
its defense. Our degree of success at the beginning of the
process determines to a great degree our success at the end.
Close, continuous coordination with the Navy staff and vigorous
participation in their program planning process by all commands and
staff agencies so assigned is vital to the success of the Marine
Corps program.

4004. <u>INTERRELATIONSHIP OF MARINE CORPS AND JOINT PLANS</u>. Figure
4-1 depicts the interrelationship of Marine Corps and joint
planning efforts discussed in the paragraphs above.

4005. <u>RESPONSIBILITIES FOR PLANNING</u>

1. <u>Deputy Chief of Staff for Plans, Policies and Operations</u>. The
DC/S PP&O, through his Plans Division, coordinates Marine Corps
participation in Joint matters, functioning as the Commandant's
Principal Advisor for joint matters. He serves collaterally as the
Operations Deputy (OpsDep).

    a. The Director, Plans Division assists DC/S PP&O in
directing, coordinating, and supervising staff planning activities.
The Director, Plans Division serves collaterally as the Deputy
Operations Deputy (DepOpsDep).

    b. The Plans Division provides the CMC, the OpsDep, and the
DepOpsDep with staff assistance on joint strategic plans,
assessments, studies, current and future strategy,
recommendations on politico/military matters, and policy of
unified and specified commands. Further, it assists the
DC/S PP&O in the recommendation and coordination of Headquarters
staff functions related to the development, maintenance, and
revision of Marine Corps Service plans and policies. It also
reviews current and proposed Marine Corps policies for
continuity, consistency, and timeliness; provides support for
the Commandant's annual posture statement and testimony before
Congress; and reviews appropriate Marine Corps congressional
witness testimony for consistency with existing military
service policies.
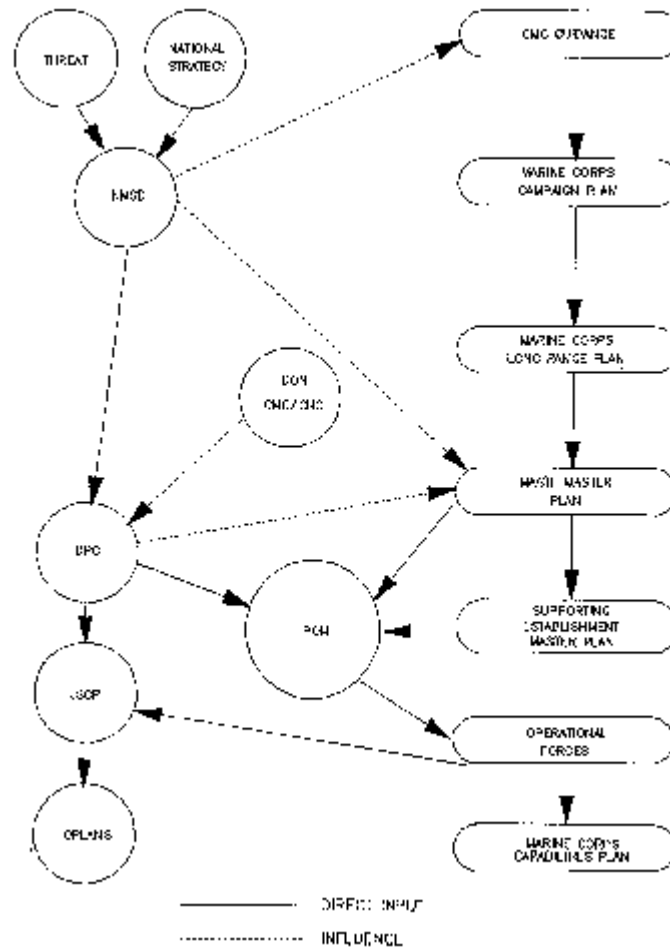
Figure 4-1. --The Interrelationship of Marine Corps and Joint
         Planning Efforts.

    c.   The DC/S PP&O performs the following relative to the DoD PPBS:

       (1) Develops Marine Corps input to the DPG on Strategic and politico/military matters and scenarios.

       (2) Provides or coordinates Marine Corps participation in the prepration of joint plans and studies.

       (3) Takes appropriate staff action on National Security Council requirements.

       (4) Coordinates Marine Corps participation in the CPA, Joint Military Net Assessment, and other JSPS related documents.

       (5) Provides Marine Corps security assistance policy guidance.

2.   The CG MCCDC is responsible to the Commandant for review, preparation, and revision of FMF-related unilateral plans, including the MCCP, MLRP, and MMP, among others, as outlined in paragraph 3002. These are coordinated with and support the objectives developed by the JSPS.

3.   The DC/S I&L is responsible for SEMP development in response to the goals of the MMP.

4.   <u>Deputy Chiefs of Staff/Directors</u>. Heads of each Headquerters staff agency must assist the CG MCCDC, DC/S PP&O, I&I, and DC/S R&P with development of those portions of joint and unilateral plans within their staff responsibility. Each staff agency must develop and publish internal plans as necessary to support program development.

4006.   MAGTF MASTER PLAN AND SUPPORTING ESTABLISHMENT MASTER PLAN RELATIONSHIP TO PROGRAM DEVELOPMENT. The MMP provides overall direction and integration to the development of employment concepts, strategies, and capabilities of our MAGTF's. Development of new weapons systems and equipment, future doctrine, training, and force structure will support the goals articulated in the MMP. The SEMP provides similar guidance for the development of supporting establishment capabilities and priorities. Program development, from technology base exploration to base support and non-FMF planning, will support the MMP and SEMP goals to the maximum extent possible. The essence of programming will be fitting the demands and requirements of both plans within available resources in a manner that produces the most capability. The full and energetic participation of all staff agencies and commands will permit consideration of all factors, both internal and external, and develop the optimum program strategy for the Marine Corps.

MARINE CORPS PLANNING AND PROGRAMMING MANUAL

CHAPTER 5

MARINE CORPS PROGRAMMING

CHAPTER 5

MARINE CORPS PROGRAMMING

5000. <u>GENERAL</u>

1. The principal programming product of the DoD PPBS is the
Future Years Defense Program (FYDP). This was formerly the Five
Year Defense Program (FYDP). The FYDP incorporates the
individual programs of all DoD components, military
departments, and defense agencies. It is the official program
of the DoD and is updated periodically during the PPBS cycle.

2. The basic purpose of the programming phase is the translation
of approved concepts and capability objectives into a definitive
program, expressed in terms of optimum allocation of resources.
Programming is the link between plans and the budget,
transforming needs into a time-phased program of affordable and
achievable activities. It uses prescribed, systematic
procedures to estimate the cost of attaining force objectives for
manpower and financial resources for 6 years and force
requirements for 8 years.

3. The POM documents the resource and program objectives of
each military service and defense agency.

4. The Department of the Navy POM is the Secretary of the
Navy's recommendation to the Secretary of Defense for the
allocation of resources to accomplish assigned missions. The
Marine Corps portion of the DON POM, developed within assigned
fiscal constraints, is our primary vehicle for requesting
revisions to previously approved programs in the current FYDP.
The Marine Corps portion is not a discrete entity within the
DON POM. The Marine Corps submission is interwoven throughout
the DON final document.

5. <u>The FYDP relates resources (inputs) to programs (outputs)</u>.
The FYDP structure provides a method of aggregating funds,
materiel, and personnel in various combinations within two
major building blocks: major programs and resource categories.
Eleven major programs describe the entire defense program:

     Program 1 - Strategic Forces
                    Offensive Forces
                    Defensive Forces
                    Civil Defense

Program 2 - General Purpose Forces
                Unified Commands
                Forces, Army
                Operational Systems Development, Army
                Forces, Navy
                Operational Systems Development, Navy

                Fleet Marine Forces
                Forces, Air Force
                Other

Program 3 - Intelligence and Communication
                General Intelligence and Cryptological
                    Activities
                National Military Command System
                Communications
                Special Activities
                Activities (other)

Program 4 - Airlift and Sealift
                Airlift
                Sealift
                Traffic Management and Water Terminals

Program 5 - Guard and Reserve Forces
                Strategic Forces
                General Purpose Forces
                Intelligence and Communications
                Airlift and Sealift
                Reseach and Development
                Central Supply and Maintenance
                Training, Medical & Other General Purpose
                    Activities
                Administration & Associated Activities
                Support of Other Nations

Program 6 - Research and Development
                Research
                Exploratory
                Advanced Research
                Engineering Development
                Management & Support

Program 7 - Central Supply and Maintenance
                Supply
                Maintenance and Service Activities
                Other

Program 8 - Training, Medical & Other General Personnel
    Activities Program
                    Personnel Procurement
                    Individual Training & Education
                    Support of Individual Training
                    Individual Training - Health Care
                    Personnel Activities
                    Miscellaneous

Program 9 - Administration and Associated Activities
                    Command
                    Management Headquarters
                    Undistributed Adjustments
                    Net Unfinanced
                    Special Resources Set Aside

Program 10 - Support of Other Nations
                    Support of Allies
                    Military Assistance Program

Program 11 - Special Operations Forces
                    Special Operations-Unique Items

6. Elements under each program listed above are assigned
individual Program Element Numbers (PEN's). These elements and
element numbers serve both the output-oriented DoD internal
program review process and the input-oriented appropriation
structure necessary for congressional review. The FYDP Program
Structure, published by DoD, explains the details of PEN's.
Specific Marine Corps PEN's are listed in the DoD FYDP Program
Structure Handbook - Book 1 (Unclassified). Published in the
DoD 7045.7 series it contains the definitions of each major
program and program element which has been approved by SecDef.
Each member of the POM Working Group (PWG) has a copy of this
document.

7. Defense Planning and Programming Categories (DPPC's) are
used in manpower planning and programming. DPPC's are based on
the same program elements as the FYDP's 11 major force programs;
however, the displays are aggregated differently. DoD publishes
the DPPC's. Appendix D provides a descriptive listing of
DPPC's.

8. The FYDP also displays information from a resource category
or input perspective, to correspond with the congressional
categories. These include manpower, operation and maintenance,
procurement, research and development, military construction,
family housing, and stock funds. The resulting matrix permits
association of inputs (appropriations) to outputs (programs and
program elements).

5001. <u>MARINE CORPS PROGRAMMING (GENERAL)</u>

1. A total Marine Corps program is developed biennially and incorporated into the DON POM. This program addresses forces and resources in program element detail for 6 years beginning with the first program year. It is, in effect, a proposed update to the existing FYDP.

     a. The DON POM includes, in addition to the Marine Corps appropriations and those portions of Navy appropriations that we unilaterally program, numerous Navy appropriations of concern.

     b. Details on Navy Appropriations are contained in chapter 7.

     c. Through the DoD and DON PPBS process the Marine Corps develops a program that evolves into the Marine Corps "green dollar" budget, and simultaneously develops separate proposals - primarily but not solely related to aviation - for programs funded through "blue dollar" Navy appropriations.

          (1) Marine Corps appropriations are Procurement, Marine Corps (PMC), Military Personnel, Marine Corps (MPMC), Reserve Personnel, Marine Corps (RPMC), Operation and Maintenance, Marine Corps (O&MMC), and Operation and Maintenance, Marine Corps Reserve (O&MMCR). Additionally, by direction of the SecNav, we program those portions of the DON Military Construction (MCON), Military Construction, Naval Reserve (MCNR), Navy Stock Fund (NSF), and Family Housing Management Accounts (FHMA) that are for Marine Corps use. The total resources that we unilaterally program, PMC, MPMC, RPMC, O&MMC, O&MMCR, and our portions of MCON, MCNR, FHMA, and NSF, are commonly referred to as "green dollars." The Marine Corps also programs a portion of the DON RDT&E resources, but these are not generally referred to as "green dollars."

          (2) There are DON appropriations which provide significant support to the Marine Corps but which we cannot unilaterally program. Support received from these appropriations is usually referred to as "Blue-in-support-of-Green" dollars and can be classified in three ways:

               (a) Primarily, those Navy assets which are programmed during the PPBS process, into USMC "M" program element numbers (PEN). Examples of these assets are APN and WPN material purchased for Marine aviation requirements; chaplains and corpsmen (MPN) assigned to USMC units/activities; etc.

               (b) Additionally, there are "Blue-in-support-of-Green" dollars which, though in "N" PEN's, are readily identifiable as being in support of USMC. Examples of this are

the R&D elements for the Advanced Assault Amphibian which is programmed entirely for the USMC; and, PEN's for amphibious ships which, by their nature, directly support the Marine Corps mission.

          (c) Finally, there are those "Blue" dollars which are programmed to "N" PEN's but whose output will be jointly shared by the USN and the USMC. The majority of these are in the RDT&E, N appropriation; such as aircraft which will be used to support both Navy and Marine Corps requirements. There is no way to definitively break out these dollars. Support dollars quoted in this area are estimates made by the program/budget sponsors or analysts.

2. The DON POM portrays a definitive force attainable within the constraints of fiscal guidance. It also represents a logical step to the achievement of the unconstrained force developed in the National Military Strategy Document (NMSD) and a synergistic combination of the attainable priorities and objectives in the MAGTF Master Plan (MMP) and the Supporting Establishment Master Plan (SEMP).

3. DoD directives provide the following definitions:

    a. <u>Program Element (PE)</u>. A description of a mission by the identification of the organizational entities and resources needed to perform the assigned mission. Resources consist of funds, materiel, and personnel, as applicable.

    b. <u>Program.</u> A combination of program elements designed to express the accomplishment of a definite objective or plan over a specified period of time. Programs are aggregations of program elements. The DP is an aggregation of programs.

4. Contemporary usage of these terms, both internal and external to the Marine Corps, reveals the following current interpretations, offered here, for clarification:

    a. A program sometimes refers to a single program element, and sometimes a combination of two or more elements. Within the Marine Corps the term program is often used to describe the entire product of the programming effort (e.g., the POM describes the Marine Corps program).

    b. A PE does not reflect a complete plan or specific objective.

    c. Program goals and objectives are seldom evident in FYDP language. These are better defined in annual budget submissions, highlighted in the narrative of the POM submission, or detailed in congressional posture statements.

d.   Marine Corps programming translates approved concepts and capability objectives contained in Marine Corps, Navy, and joint plans into definitive programs which are implemented over time through the program years.

e.   An individual program initiative is a request for limited resources for a discrete "item" or a coordinated "package," and is thus a competitor with other individual program initiatives. Program initiatives always refer to those initiative requests that are discrete in terms of resources requested and capability offered. Specifically:

(1) Individual program initiatives are requests for resources above a pre-established core funding level. Detailed formats, issued by DC/S R&P in a POM serial, are available and must be used for submission of POM initiatives.

(2) Individual program initiatives that are mutually dependent are often combined, or "rolled up," into one initiative for life cycle costing of total system capability among competing alternatives.

f.   A Marine Corps program may also refer to a broader effort or appropriation (e.g., the MCON program).

5002.   <u>MAJOR PROGRAMMING ACTIONS.</u> Participation in the PPBS cycle requires action by various Marine Corps commands and all Headquarters staff agencies. The DC/S R&P coordinates these actions for the Commandant. These actions are not rigidly phased in the sense of clear beginnings and ends. In most cases they are continuous, but breaking them into phases aids understanding. The first year of the PPBS cycle, depicted at figure 3-4, is often referred to as the "Program Planning" phase; the second year as the "Program Development" phase. In reality the distinctions are not rigid. The Programming Handbook and periodic POM serials expand the details of the depicted actions. Figure 5-1 provides an overview of Marine Corps, DON, and DoD interaction during the POM Process.

1. <u>Program Planning Phase</u>

a.   <u>Marine Corps Program Review</u>. This is a continuous effort to best fulfill programming objectives within continually changing fiscal guidance and individual program execution. The Marine Corps Program Review Update (MCPRU) is designed to provide the planners with appropriate resource availability considerations for realistic planning. Program review is cyclical and iterative. Each effort depends on previous revisions, new guidance from SecDef, SecNav, and CMC. Publication of the MCPRU is generally completed at the beginning of the program planning phase.
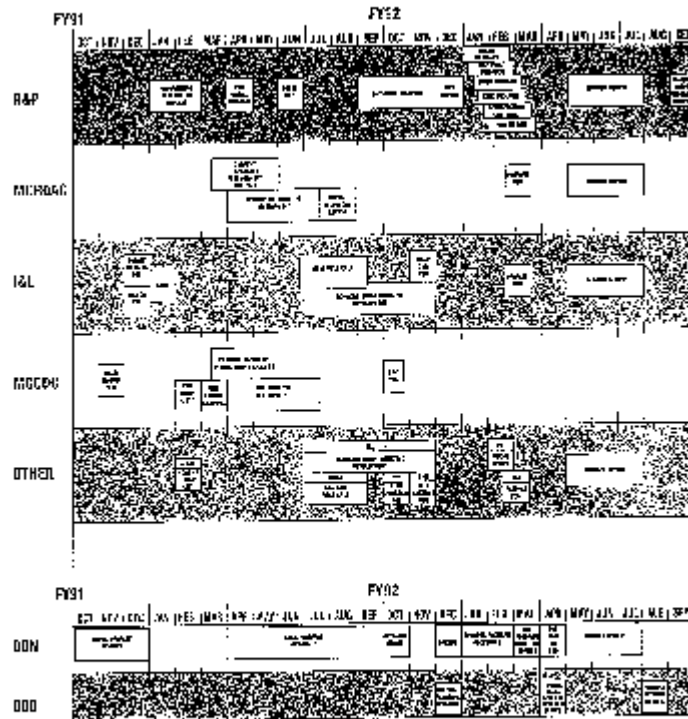
Figure 5-1. --Marine Corps POM Process.

b. <u>The CG MCCDC develops the MMP</u>. In response, the
Headquarters staff develops a detailed, formal Program
Assessment, based on the MAGTF Master Plan. This assessment
measures our ability to meet out current mission with
programmed resources, and weights this capability against
future requirements and threats. Deficiencies, strategic risk,
and alternatives are developed in broad terms. These
assessments clarify our deficiencies and solutions - in
doctrine, structure, manning, training, materiel, and the
supporting establishment - that must be addressed in the next
program.

        (1) Mission area analysis is the basis for evaluation
of current and proposed programs across the full spectrum of
requirements.

        (2) This promotes overall program visibility by
requiring total and consistent MCCDC, MCRDAC and Headquarters
staff involvement in the evaluation process.

        (3) The Program Assessment considers, and influences,
the Navy Warfare Appraisal and program planning processes,
providing the base line for Marine Corps participation in
development of appropriate naval strategies and programmatic
appraisals.

    c. A SEMP will be developed concurrently with the Program
Assessment. The objective is detailed consideration of the
plans and resources necessary for the supporting establishment
to properly support the requirements of the MMP.

    d. The FDMC conducts a Program/Budget Implementation and
Execution Review (P/BIER) during the POM Off-year. In simple
terms, this is a fiscal review that focuses on the second year
of the Biennial Budget submitted the previous January. The
P/BIER refines the executability of programs already in the
budget in preparation for the upcoming budget reviews through
Navy and OSD/OMB. The following illustrates the relationship
of the fiscal reviews to the POM and Biennial Budget (The
example has been developed from a POM 94 perspective. The year
FY92 is considered the "On Year." The year FY93 is considered
an "Off Year."):

        (1) Feb 92 - Prior to submittal in April, a fiscal
review of POM 94 is conducted (Major focus on transition of
FY93 budget to FY94 in POM 94)

        (2) Apr-Jul 92 - First two years of POM 94 converted
in the FY94/95 Biennial Budget (USMC budget to Navy in early
July)

        (3) Aug-Dec 92 - NavCompt and OSD/OMB budget reviews
(Main focus on FY94)

        (4) Jan 93 - FY94/95 PresBud submitted to Congress

        (5) Feb-Mar 93 - P/BIER (Focus on FY 95; in preparation
for updating the second year of the biennial budget for the
NavCompt and OSD/OMB FY 93 reviews beginning in Aug 93).

    e. Other actions occuring during the program planning
phase:

        (1) Post-POM CMC decisions.

        (2) Outside agency direction and decisions.

        (3) JSPD impact assessment.

        (4) Manpower and structure requirements and
feasibility determination.

        (5) Ongoing systems acquisition analysis, to identify
program risk and opportunity. Resources can be recouped from
programs experiencing difficulty and reallocated to other
emerging priorities.

        (6) Navy programming actions and studies.

        (7) Issue determination.

        (8) Program Budget Decision (PBD) effect assessment.

        (9) Defense Planning Guidance analysis.

        (10) Department of the Navy Consolidated Planning and
Programming Guidance (DNCPPG) development and analysis.

    f. No firm fiscal targets are established during program
analysis and program planning, but resource constraints are
considered to ensure that the analyses done contributes to the
transition to POM development.

    g. Close integration with the DON in the program planning
phase is essential to ensure Marine Corps contributions and
interests are reflected in the development of the Navy's
strategic plans.

2. Program Development

    a. The issuance of fiscal guidance traditionally marks the
beginning of final program, or POM, development. The fiscal
guidance identifies the DON's anticipated share of DoD's Total
Obligational Authority (TOA) through the POM period. The
planned schedule for fiscal guidance publication varies
considerably due to internal DoD considerations. In absence of
fiscal guidance, final POM development must proceed based on
reasonable resource assumptions.

(1) The Marine Corps, as a portion of the DON, develops its program as a part of the DON POM rather than as an independent Marine Corps POM. However, a division of the DON's PPBS process has been established by the SecNav. In this division, the Marine Corps PPBS procedures for Marine Corps personnel and ground-warfare capabilities; i.e., the "green dollar" appropriations, are virtually autonomous from the Navy staff's PPBS procedures. Meanwhile, Marine Corps efforts for air warfare and other program areas occur jointly with the Navy staff. For the autonomous efforts, the Marine Corps operates under separate fiscal and programmatic guidance from the DON staff to develop the "green dollar POM" which SecNav incorporates into the DON POM.

(2) Fiscal guidance for the Marine Corps-developed (green dollar) portion of the DON POM is determined by the SecNav. As a rule, this fiscal guidance is determined by multiplying the DON TOA by a fraction. The fraction is a ratio of current Marine Corps TOA to total DON TOA and varies slightly from year to year. It is computed using an established formula and is based on program-year (the last 4 years of the FYDP) resources in the latest edition of the President's budget. The fraction is a very important determinant of the Marine Corps program, and hence is defined by the SecNav in consultation with the CMC and the CNO. This "blue-green split" divides the Fiscal Guidance multi-level, multi-year dollar totals for the DON among the CNO's and the CMC's programmers.

(3) As noted above, a substantial portion of the DON POM that supports the Marine Corps is not programmed unilaterally by the Marine Corps. This affects aviation and RDT&E programs, among others. In these cases, the CMC proposes a program to the Navy staff, following their established procedures, and that staff develops the related CNO's POM submission.

(a) Blue dollar programming priorities and strategy recommendations are developed for the CMC similar to, and in coordination with, the green dollar process.

(b) Upon approval by the CMC, certain staff agencies are responsible for ensuring Marine Corps programming objectives are included, by their Navy staff counterparts, intheir Sponsor Program Proposals (SPP's). For example, DC/S Aviation is responsible to ensure our aviation-related programming objectives are included, by his staff counterpart, the Assistant Chief of Naval Operations (ACNO) for Air Warfare (OP-05), in the air warfare SPP.

(c) The DC/S R&P is responsible for tracking and influencing Navy and DON program development, to ensure full and favorable consideration of items of Marine Corps interest,

through his staff counterpart, the Deputy Chief of Naval Operations (DCNO) for Navy Program Planning (OP-08).

       (4) Refer to appendix C for detailed schematics and explanations of the Navy program development processes.

       (5) Various Navy programming documents (listed in appendix B) and the Programming Handbook also contain detailed explanations of the process.

   b. Final POM development measures and balances our requirements against our resources. All program initiatives are evaluated, and their warfighting benefits established, in competition for resources.

   c. For those resources programmed unilaterally by the Marine Corps, except R&D, the Commandant establishes initial TOA controls, known as "core levels," for each appropriation and some sub-appropriations. These core levels, artificial funding levels set below expected fiscal guidance, permit each appropriation to fund its most important current capability programs. All programs not funded in the core compete for limited above-core funds. The net effect of establishing core funding levels for all appropriations is maximum practical protection of current, high-priority programs, while forcing evaluation of all additional requests through comparison and competition. Through the establishment of core funding levels, the starting point for future program development is normally the Marine Corps plan for the beginning of the POM period.

       (1) In times of increasing resources, the established core levels show what the cost would be to maintain each appropriation at its current level of capability. Each additional program initiative then competes for the remaining resources. The basis of competition is primarily the improvement in Marine Corps capabilities represented by the competing initiatives.

       (2) In times of decreasing resources, core levels provide visibility for making informed decisions on resource reduction to current programs and efforts. In effect, core levels permit informed decisions about how to protect the most important parts of the total, current Marine Corps program while examining certain parts of the current program and all new initiatives for the remaining resources above core.

   d. Program Evaluation Groups (PEG's) are temporary committees, carefully selected and formed as necessary to help assess the relative benefit of individual program initiatives within prescribed categories. The rankings that these groups establish aid the development of relative priorities among diverse items. The recommendations of each group must be

approved by an appropriate principal officer before moving to the next level. The careful and considered recommendations of the officers assigned to these temporary groups are essential to our concept of program development. Their recommendations, as approved by the appropriate principal officer, provide the solid foundation of professional military judgment necessary for further program development.

        (1) The CG MCCDC establishes PEG's as desired to rank all FMF materiel acquisition and force structure initiatives, including those developing within the Navy programming forums - the "blue" and "blue-in-support-of-green" programming issues.

        (2) Each Headquarters staff agency and MCCDC establish PEG's to order their non-FMF programs (e.g., MCON, O&MMC, O&MMCR, Family Housing, Training, etc.) to best match non-FMF requirements and benefits with limited resources.

        (3) The CG MCCDC further integrates all training and FMF acquisition initiatives into a single integrated priority listing.

        (4) The DC/S R&P establishes a PEG to integrate all materiel acquisition initiatives, both FMF and non-FMF, into one list, ordered by relative benefit value. At the discretion of DC/S R&P, the PWG may be used as the PEG integrating all acquisition initiatives. The MCCDC prioritized listing will be used as the baseline against which all other prioritized listings are integrated.

    e. The results of these different evaluations are integrated into one recommended notional program for the first time by the PWG. The PWG constructs and recommends a complete 6-year program, coordinated with Navy programming strategies and considerations. The recommended program complies to the maximum extent with guidance and priorities, while remaining within fiscal constraints.

    f. The DC/S R&P, as the principal liaison with the DON and Navy staffs (OPNAV) for program matters, monitors Navy program actions during the POM development period. He also maintains liaison channels with the Joint Staff and OSD. He coordinates the evaluation and analysis of Navy POM issues, the development of Marine Corps "blue dollar" priorities, and development of Marine Corps input to the Sponsor Program Proposals (SPP's). He is the Marine Corps principal point of contact, and coordinates presentation of Marine Corps concerns, to the SecNav's Office of Program Appraisal (OPA), the Department of the Navy Program Information Center (DONPIC), and to his OPNAV counterpart, the Deputy CNO for Navy Program Planning (OP-08). He coordinates Marine Corps participation in OPNAV programmatic warfare appraisal processes. DC/S R&P is a member of the

Navy's Program Development Review Committee (PDRC) and Program
Review Group (PRG), and he coordinates Marine Corps attendance at
program-related briefings such as the CNO Executive Board (CEB)
and Secretariat presentations. DC/S R&P coordinates Marine
Corps participation in the development of various Navy
programming analyses; e.g., development of the CNO Program
Analysis Memorandum (CPAM), and others.

     g. The immediate internal Marine Corps product of final
POM development is publication of final appropriation controls
by DC/S R&P, based on the Commandant's program decisions. The
appropriation controls are the foundation of the final POM
submission development by MCCDC, MCRDAC, and the Headquarters
staff. This phase is complete only after internal DON review
of the entire program, a process which may force many
adjustments to keep the "green" and "blue" portions of the POM
coordinated.

3. Program Review. The final phase of the programming portion
of the PPBS is the Program Review Phase. The review begins
immediately following the submission of all POM's to SecDef.
The sequence of significant events are listed below resultant
of POM 92 and as an example for future Program Review. Refer
to Figure 5-2 for a graphic depiction of the process for POM
92-97 Program Review.

     a. After collecting the POM's, OSD distributes copies of
the POM's to everyone who has a stake in the outcome of the
Defense Program. This includes the OSD staff, JCS, CINC's,
military departments, and defense agencies. Everyone who
prepares or receives copies of the POM's is encouraged to
analyze the POM's from their perspective and submit Program
Review Proposals (PRP's) to the Assistant Secretary of Defense
for Program, Analysis, and Evaluation (ASD (PA&E)).

     b. ASD (PA&E) groups the PRP's into three major categories
(Tiers) and presents them for Deputy Secretary of Defense
(DepSecDef) consideration. (261 PRP's were submitted for POM
92-97 Program Review.) The final DepSecDef approved groupings
are then meshed into issues which define the parameters for
Program Review.

     c. For POM 92-97, the Program Review issues were grouped
as follows:

        Tier I - Issues of greatest importance are crafted for
discussion before the Defense Planning and Resources Board
(DPRB). There were 14 Tier I issues (conventional forces, SDI,
active/reserve mix). Within Tier I several issues were set
aside for presentation and discussion before a modified DPRB.
Examples of those issues set aside are civilian manpower and
acquisition strategies.
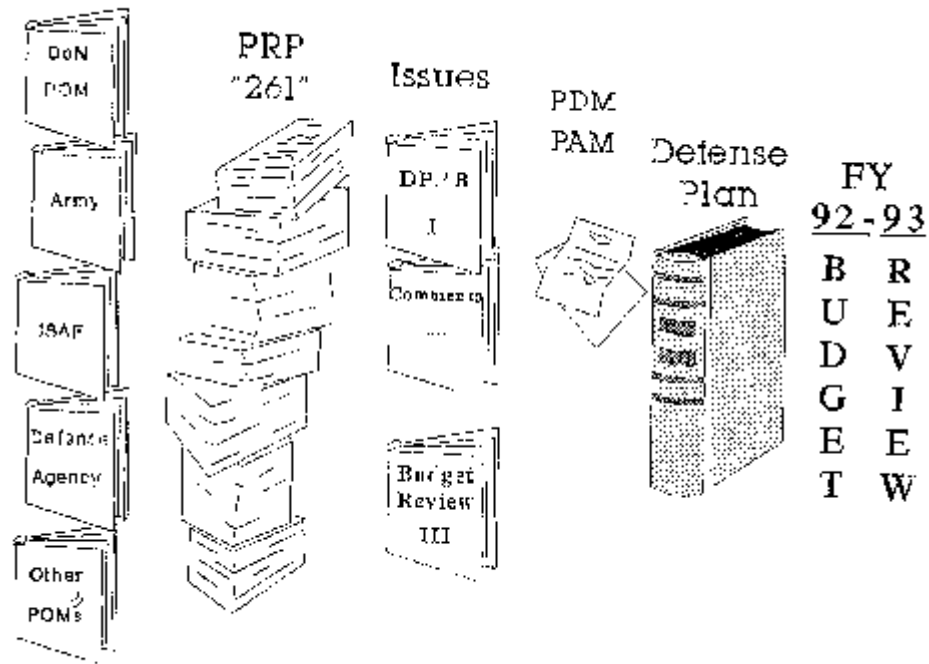
Figure 5-2. --Program Review Process.

Tier II - Issues of lesser importance are presented for DepSecDef consideration via issue papers only. POM 92 identified 22 Tier II issues. Typical issues were anti-armor programs, Defense Mapping Agency funding, and Carrier Air Wing composition (CVW). CVW illustrates the participative nature of the review process in that DepSecDef accepted the Secretary of the Navy recommendation to elevate CVW to Tier I.

Tier III - Issues which focus on technical or execution problems posed by the POM's during the budget years. In the case of POM 92-97, FY 92 and 93 were the budget years. Tier III issues were deferred to the final phase of the PPBS, Program Budget Review.

d. After the issues are processed, whether in the DPRB or in issue papers, the DepSecDef decisions constitute the Defense Program for that issue. DepSecDef positions are then published in the Program Decision Memorandum (PDM) or Program Assumption Memorandum (PAM). Unlike the PDM, positions put forth in the PAM do not reflect final decisions. Positions presented in the PAM are subject to review by the DPRB when the Board considers the budget during the Budget Review. All Program Review Decisions will be reflected in the September and subsequent update to the Defense Plan.

5003. COMMANDING GENERAL, MARINE CORPS COMBAT DEVELOPMENT COMMAND RESPONSIBILITIES FOR PROGRAMMING

1. General

a. The CG MCCDC determines which FMF mission needs must be satisfied through changes to doctrine, training, structure and manning, or materiel.

(1) Any of these changes that have resource implications must be accommodated in the Marine Corps program, either as an out-of-cycle change, if urgent, or in the next POM development cycle.

(2) He also determines the relative benefit of FMF requirements and corresponding force structure and acquisition initiatives. This includes determination of the relative benefits among Navy POM issues that affect the Marine Corps.

b. The CG MCCDC is responsible for matters related to training, both FMF and non-FMF, and will support that responsibility through appropriate requirements determination and the submission of initiatives.

2. For changes to doctrine, training, structure or manning requirements that have resource implications, the CG MCCDC

proposes these changes through appropriate programming
initiatives.

3. For FMF materiel requirements, the CG MCCDC transmits
approved requirements to the CG MCRDAC, who initiates
appropriate materiel acquisition initiative development.

4. After a candidate system is identified to fulfill a
materiel requirement, the CG MCRDAC prepares a POM initiative
for submission to CG MCCDC. After approval of the initiative,
the CG MCCDC submits it to CMC (R&P). A relative benefit value
will be assigned to each initiative during the FMFPEG.

5. During the Program Development phase, the CG MCCDC
evaluates all FMF materiel acquisition and training program
initiatives, and determines their relative benefit. Chapter 8
explains the details of the relative benefit determination
process. As an active member on all programming committees, he
ensures that FMF and training POM initiatives are appropriately
represented at all staffing levels.

6. During all other phases, the CG MCCDC monitors FMF and
training program progress, recommending appropriate action as
various changes occur. He also assists the Headquarters staff
with defense of requirements and concepts as requested.

7. The CG MCCDC assigns appropriate personnel to issue teams
to ensure FMF requirements expertise and training interests are
represented in Marine Corps responses to issues raised during
program review.

5004. COMMANDING GENERAL, MARINE CORPS RESEARCH, DEVELOPMENT,
AND ACQUISITION COMMAND RESPONSIBILITIES FOR PROGRAMMING

1. General. The CG MCRDAC is the single source for materiel
acquisition program management from concept formulation through
fielding. He normally retains management over systems through
fielding with exceptions coordinated as required. He supports
the programming process by providing centralized and
streamlined research, development, and systems acquisition
management and expertise for all phases of materiel
acquisition.

2. Specifically, the CG, MCRDAC:

    a. Develops, in response to requirements validated by the
CG MCCDC, appropriate materiel acquisition program initiatives
for submission to CG MCCDC.

    b. Provides technical expertise to Headquarters staffs for
non-FMF materiel acquisition program initiative submission.

c. Acts as Program Executive Officer (PEO) for all Marine
Corps systems acquisition programs. As PEO, the CG MCRDAC:

        (1) Assits the CG MCCDC with FMF initiative evaluation
and ranking as requested, providing information on technical
risk as well as program feasibility and executability.

        (2) Monitors individual initiative progress for
program execution.

        (3) Assigns appropriate personnel to issue teams to
ensure systems acquisition expertise is represented in Marine
Corps responses to issues raised during program review.

    d. Administratively supports and Direct Reporting Program
Manager (DRPM) which has been assigned to the Marine Corps by
the ASN (RD&A).

5005. <u>STAFF RESPONSIBILITIES FOR PROGRAMMING</u>

1. Deputy Chief of Staff for Requirements and Programs. DC/S
R&P assists the Commandant of the Marine Corps in directing,
coordinating, and supervising programming activities, to
include:

    a. Coordinating the development of Marine Corps input to
Navy Resource SPP's and to the DON POM for all appropriations.

    b. Ensuring the responsiveness of Marine Corps programming
to the DoD PPBS through departmental channels.

    c. Developing and publishing staff guidance through the
Programming Handbook, POM Serials, PPBS training, and various
related PPBS glossaries.

    d. Coordinating MCCDC, MCRDAC, and Headquarters staff
program development participation.

    e. Coordinating staff review and analysis of Marine Corps
acquisition, programming, and requirements documents, to
include comparison with structure controls (troop lists);
Program Assessments (Marine Corps) and Warfare Appraisal (Navy)
results; budgeting, programming, and resource realities;
defense guidance; unified commander's Integrated Priority Lists
(IPL's); naval, other service, joint, OSD programs,
capabilities, and issues; and Marine Corps capability
requirements.

    f. Coordinating evaluation and analysis of, and Marine
Corps response to, various program review issues (e.g., IB's,
PDM's, etc.) originated by other military departments, the JCS,
and other defense agencies.

g. Assisting DC/S PP&O with response to JCS actions involving program matters, especially Marine Corps participation in the Chairman's Program Assessment.

h. Analyzing, in coordination with the FDMC, all budget review activities for possible effect on force levels, force mix, force capabilities, equipment levels, and outyear programming action.

i. Monitoring and influencing the development and progress of "blue dollar" programs, and coordinating the participation of Headquarters staff agencies, MCCDC, and MCRDAC in Navy POM development activities.

j. Monitoring the progress of previously approved programs.

k. Manage and maintain the Troop List data base to support program and budget development.

2. Definitions and Terms

a. Appropriation Sponsors. Appropriation Sponsors are responsible for the development, or compilation, in coordination with program managers, of all supporting data for each approved program within their appropriation category. In coordination with the FDMC, Appropriation Sponsors present the justification/documentation requested by appropriate review agencies.

b. Functional Sponsors. The appropriate command or staff agency is responsible for submitting initiatives in their designated functional area. This is a term of convenience used in such supporting documents as the Programming Handbook and POM Serials. It is best defined/explained by giving examples. The functional sponsor for all FMF initiatives is CG MCCDC; for non-FMF ADP is AC/S C4I2; for non-FMF material handling equipment is DC/S I&L; etc.

c. Troop List. The Troop List is a database that displays the Total Force Marine Corps force structure and provides the programmed manning allocated against the structure in three sections (active-FMF, active-Non-FMF, and reserves). It is comprised of all of the current T/O's and provides programmed manning for each of those T/O's. The Troop List covers a 7-year period; the current year and the 6 years of the POM. It contains officer/enlisted totals and accurate program element numbers which are necessary to update the FYDP and to develop

current and out year staffing and manpower planning documents.
Additionally, the troop list displays the geographical
distribution of units and manning. Specific Force Structure
roles and responsibilities are delineated within appendix E.

3. Deputy/Assistant Chiefs of Staff/Directors. Heads of each
Headquarters staff agency are responsible for overall
development, documentation, management, and execution of their
programs. During program review, staff personnel must be
assigned as requested to issue teams to assist the DC/S R&P in
the review, analysis, and response required through IB's,
PDM's, and other DPRB actions.

4. Deputy Chief of Staff for Plans, Policies, and Operations.
The DC/S PP&O is responsible for coordinating Marine Corps
participation in the CPA and in providing input to the DC/S R&P
during the programming cycle on strategy and policy matters to
ensure consistency with established NCA and JCS positions.

5. Deputy Chief of Staff for Manpower and Reserve Affairs

    a. The DC/S M&RA is the appropriation sponsor for active
and reserve military (Marine and Navy) manpower, and for
civilian manpower required to support special assignments not
under the cognizance of other program sponsors. He is further
responsible for manpower policies to support the entire Marine
Corps. He is the program sponsor for all Marine Corps civilian
manpower. He develops the civilian manpower plan and program
and monitors the execution of that program. He is responsible
for T/O implementation and maintenance, and for maintenance and
publication of such management tools as deemed appropriate, to
include the Authorized Strength Report (ASR) and the Grade
Adjustment Recapitulation (GAR).

    b. The DC/S M&RA has staff responsibility for the Marine
Corps Reserve. He is responsible to the CMC for issues
relating to readiness, training, and administration of the
Marine Corps Reserve. He is the functional sponsor for issues
relating to the readiness, training, and administration of the
Marine Corps Reserve not specifically sponsored elsewhere. He
identifies Marine Corps Reserve interests to the CG MCCDC, and
appropriate Headquarters staff principals. He is appropriation
sponsor for the RPMC and O&MMCR appropriations.

6. Deputy Chief of Staff for Aviation. The DC/S Avn is the
Marine Corps representative for all aviation programs funded
through Navy appropriations (APN, WPN, OPN, O&MN, etc.). He
maintains continuous coordination with the CG MCCDC, and the CG
MCRDAC, to ensure proper response to defined aviation
requirements, and optimum support and efficiency within Marine
Corps aviation programs. The DC/S Avn represents Marine Corps
aviation interests within the office of the Assistant Chief
of Naval Operations for Air Warfare (OP-05).

7. <u>Deputy Chief of Staff for Installations and Logistics</u>. The DC/S I&L is the appropriation sponsor for O&MMC and the major claimant for other appropriations such as MCON, MCNR, and FHMC. He has primary staff responsibility for O&MMC programming in response to CMC guidance. The DC/S I&L is the manager of the Marine Corps Industrial Fund (MCIF), and the Marine Corps portion of the Navy Stock Fund (NSF). The DC/S I&L further chairs the MCON steering committee and review board, and he exercises primary staff cognizance over materiel readiness and sustainability. Additionally, the DC/S I&L functions as the proponent for the Supporting Establishment. The DC/S I&L coordinates those matters that transect the specific interests of other functional, structural, and occupational sponsors.

8. Assistant Chief of Staff, Command, Control, Communications and Computer, Intelligence and Interoperability. The AC/S C4I2, as the Marine Corps designated contact with the DON intelligence committee, ensures that appropriate Marine Corps input is made to the DON General Defense Intelligence Program (GDIP) and the DON Consolidated Cryptologic Program (CCP), the Tactical Intelligence and Related Activities (TIARA) program, the Tactical Cryptologic Program (TCP), and the Defense Reconnaissance Support Program (DRSP).

5006. <u>MAJOR CLAIMANTS AND MONITORS</u>

1. <u>Major Claimants.</u> The Marine Corps receives financial and manpower support from DON appropriations, particularly in support of aviation, research and development, military construction, and family housing. Those Headquarters staff agencies representing CMC as a major claimant for Navy appropriations are responsible for developing, or obtaining, all required cost/program data for Marine Corps claims on Navy appropriations. They ensure Marine Corps objectives are considered in the development of various documents of the PPBS.

     a. Deputy Chief of Staff for Installations and Logistics. The DC/S I&L acts as the major claimant for the Marine Corps share of the Navy's MCON, NSF, MCNR, and FHMA appropriations. The MCON programs are developed through the MCON Steering Committee and the MCNR Review Conference. The DC/S M&RA assists the DC/S I&L by monitoring the MCNR appropriation.

     b. CG MCRDAC. The Commanding General MCRDAC is responsible for the preparation of Marine Corps R&D program requirements. That responsibility includes the review, coordination, and monitoring of RDT&E activity. He provides Marine Corps RDT&E input to the DON POM.

2. <u>Monitors</u>. In addition to being a claimant for parts of certain Navy appropriations, the Marine Corps, as a member of the DON, must monitor certain appropriations, and related forces, for other than claimant purposes. All monitors are responsible for maintaining and providing current information as requested. Specific responsibilities include, but are not limited to, the following:

    a. <u>Deputy Chief of Staff for Plans, Policies, and Operations</u>. The DC/S PP&O monitors Shipbuilding and Conversion, Navy (SCN) and Weapons Procurement, Navy (WPN) appropriations, less those WPN portions that directly support Marine aviation.

    b. <u>Deputy Chief of Staff for Aviation</u>. The DC/S Avn monitors APN. He also monitors those portions of WPN, OPN, RDT&E, and O&MN appropriations that support Marine aviation. The DC/S Avn coordinates with OPNAV (OP-05) to ensure support of Marine Corps aviation programs in the DON POM.

    c. <u>Deputy Chief of Staff for Manpower and Reserve Affairs</u>. The DC/S M&RA monitors that portion of the Navy manpower program that supports the Marine Corps. The DC/S M&RA monitors those portions of the O&MN and MCNR appropriations that support the Marine Corps Reserve.

    d. <u>Assistant Chief of Staff, Command, Control, Communications and Computer, Intelligence and Interoperability</u>. The AC/S C4I2 monitors naval telecommunications and communications security programs that support the Marine Corps. He further monitors other service/agency intelligence-related programs for applicability to Marine Corps requirements.

    e. <u>Deputy Chief of Staff for Installations and Logistics.</u> The DC/S I&L monitors Navy programs and systems that support amphibious logistics and the Military Sealift Command (MSC).

3. <u>Other Staff Responsibilities</u>

    a. <u>Deputy Chief of Staff for Requirements and Programs</u>

        (1) <u>Coordination</u>

            (a) Coordinates and publishes programming documents, including the Programming Handbook, POM serials, the Troop List, and others as necessary.

            (b) Coordinates development, publication, operator training and use of software support for programming matters.

(2) <u>Program Planning</u>

(a) Publishes the Programming Handbook and Marine Corps POM Serials outlining specific responsibilities for POM development and review.

(b) Coordinates comprehensive assessments of the current program (including Navy-funded programs).

<u>1</u> Identifies programs, through this assessment, that have potential for increased efficiency and effectiveness through restructuring or cancellation.

<u>2</u> Presents programs so identified to the Commandant's Committee for restructuring or continuation decisions.

(c) Coordinates development of selected program alternatives.

(d) Coordinates program assessment efforts with the FDMC to ensure the effects of actual and potential budget decisions are fully integrated into the programming process.

(e) Briefs significant highlights of the current program and those associated with development of program alternatives as required.

(f) Monitors DON program development and coordinates Marine Corps input.

(3) Final Program Development

(a) Publishes CMC's programming guidance.

(b) Develops and presents for approval a balanced program developed in coordination with MCCDC, MCRDAC, and all Headquarters staff agencies.

(c) Determines the impact of DON program decisions on the Marine Corps, and identifies potential issues.

(d) Coordinates the preparation and submission of the Marine Corps input to the DON POM.

(4) <u>Program Review</u>

(a) Ensures that MCCDC, MCRDAC, and Headquarters staff agencies are kept informed of potential issues.

(b) Coordinates participation in the IB development cycle.

(c) Coordinates comments on IB's and prepares recommended Marine Corps positions.

(d) Serves as primary coordination agency for Marine Corps participation in the program review process.

(e) Distributes the PDM.

b. <u>MCRDAC Program Managers and Headquarters Appropriation Sponsors</u>.

(1) Develop specific program analyses as directed.

(2) Ensure external review effects are considered in the programming process.

(3) Brief programs and related issues as requested.

(4) Provide support for Marine Corps participation in the Department of the Navy's POM development process.

(5) Participate as required in the program review process; e.g., assignment and participation of staff representatives to OSD issue teams, review and comment on IB's.

(6) Identify, define and provide information concerning program improvements that may increase efficiency and effectiveness.

(7) Provide the DC/S R&P, prior to the beginning of the POM development process, detailed information on current programs that cannot execute resources as originally planned.

c. <u>Fiscal Director of the Marine Corps</u>

(1) Ensure the results of external reviews of the Marine Corps budget (and budget estimate) are provided to functional sponsors, program managers, appropriation sponsors, and the DC/S R&P.

(2) Review and comment, as appropriate, on program manager and appropriation sponsor analyses.

(3) Respond to NavCompt Review issues and advise all concerned.

(4) Assist as requested with Issue Book (IB) review and response preparation.

(5) Make program recommendaions specifically addressing probability of program attainment, suitability, feasibility, and supportability. Address the probability that the program can be successfully defended through the various budget review levels.

(6) Analyze, in coordination with the DC/S R&P, all budget review activities for possible effect on force levels, force mix, force capabilities, equipment levels, and outyear programming action.

   d. The Medical Officer, U.S. Marine Corps; The Dental Officer, U.S. Marine Corps; and The Chaplain, U.S. Marine Corps. Represent Marine Corps programming interests within the appropriate Navy staff agencies.

   e. Specific, but not all-inclusive, staff responsibilities are listed in appendix E.

5007. <u>OUT-OF-CYCLE PROGRAMMING.</u> In the event major program changes cannot be processed in time for the POM cycle, they will be processed according to chapter 9 of this Order.

5008. <u>SUMMARY</u>. The preceding list of programming duties is, by necessity, general. Programming, by its very nature, is very dependant on the particular situation, and duties of different agencies will vary. The one constant is the necessity for continuous coordination and exchange of information between all involved.

MARINE CORPS PLANNING AND PROGRAMMING MANUAL

CHAPTER 6

FINANCIAL ASPECTS OF PLANNING AND PROGRAMMING

FINANCIAL ASPECTS OF PLANNING AND PROGRAMMING

6000. <u>GENERAL</u>. Our plans, program, and budget are three legs
of a system designed to allocate available resources among
competing requirements. Defining objectives and developing
feasible programs are preludes to preparing and justifying a
budget submission. The budget is the total program to be
executed in a 2-year period. (DoD budgets are for 2 years;
currently Congress appropriates funds for 1 year.) As any one
leg changes, the others must change. The financial aspects of
planning and programming require estimating the costs of
individual programs, of the POM, and finally updating the
Future Years Defense Program (FYDP).

6001. <u>RESPONSIBILITIES FOR COST ESTIMATE DEVELOPMENT</u>

1. <u>General</u>. Cost estimate requirements and formats vary by
program. General responsibilities for cost development are
constant. The current edition of MCO P7100.11_, Budget Manual
for HQMC and Special Activities, outlines the details of these
responsibilities.

2. <u>Fiscal Director of the Marine Corps</u>. The FDMC assists in
the development and review of all planning and programming
financial data. Specifically, the FDMC:

    a. Develops Military Personnel, Marine Corps (RPMC), and
Reserve Personnel, Marine Corps (RPMC) program costs based on
manpower plans provided by the Deputy Chief of Staff for
Manpower and Reserve Affairs.

    b. Assists sponsors and program managers as necessary, and
provides required formats for data submission.

    c. Provides data on International Balance of Payment
(IBOP) implications.

    d. Coordinates all program cost development for
appropriation sponsors and program managers.

        (1) With the sole exception of the FYDP update done as
a result of biennial POM submission, the FDMC is responsible
for submission of all FYDP data.

        (2) POM-related FYDP update submissions are the
responsibility of the DC/S R&P. the data, however, are
prepared by the FDMC and others as required.

e. Processes financial reprogramming decisions and advises all concerned of the financial effects of such decisions. Reprogramming guidance may be found in other Marine Corps directives.

f. Maintains current data on the approved FYDP. The FDMC serves as the primary reference for the latest approved technical data from NavCompt.

g. Reviews all Program Change Requests (PCR's) and Program Management Proposals (PMP's) originated by the Marine Corps.

h. Reviews, in coordination with appropriate command and staff agencies, all PCR's originated by other military services.

i. Coordinates the distribution, processing, and subsequent rebuttal of all Program Budget Decisions (PBD's). This responsibility includes any Major Budget Issues (MBI's) initiated or processed by the Marine Corps.

3. <u>Deputy Chief of Staff for Requirements and Programs</u>

a. The DC/S R&P coordinates the assessment of the programmatic implications of OSD budget review decisions.

b. FYDP update data submission to change the FYDP to conform with biennial POM submission is the responsibility of the DC/S R&P.

c. The DC/S R&P provides pricing and cost-escalation guidance to all participants as program development evolves.

4. <u>Program Managers and Appropriation Sponsors</u>. Managers and sponsors are responsible for development of data required by the FDMC for cost development. This includes:

a. Accumulating, reviewing, and providing in the prescribed format all cost data requirements. Program managers develop and provide life-cycle cost data for their particular program initiatives. Reference (a) describes acquisition responsibilities and procedures.

b. Assisting in the development of PCR's, PMP's, and the DON POM.

c. Informing all concerned of budget or other financial actions that may affect approved plans and programs.

5. <u>Non-Marine Corps Appropriations Monitors</u>. Non-Marine Corps appropriation monitors obtain and monitor required cost data.

6. Deputy Chief of Staff for Manpower and Reserve Affairs. The DC/S M&RA determines total-force manpower implications for all program initiatives and requests, and develops the manpower plan.

6002. COSTING THE POM

1. Program Objective Memorandum. The Marine Corps portion of the DON POM develops within the constraints of, and responds to, all DoD, DON, and CMC fiscal guidance.

2. Responsibilities

    a. Commanding General Marine Corps Research, Development, and Acquisition Command. MCRDAC furnishes to DON (OP802) and to the FDMC a Procurement Marine Corps (PMC) Total Obligational Authority (TOA) display by Resource Control Code (RCC) and Program Element Number (PEN) for the Navy Headquarters Programming System (NHPS) and submits required DON POM Procurement Annex data to the appropriate Navy staff through the DC/S R&P.

    b. Fiscal Director of the Marine Corps. The FDMC:

        (1) Assigns a member of the Fiscal Division to the POM Working Group (PWG) and Program Coordination Group (PCG) to serve as the primary action officer for compiling POM cost data to update the Navy Headquarters Programming System (NHPS).

        (2) Assists with the development of detailed instructions for POM-related DP updates, published as a POM serial by the DC/S R&P.

        (3) Costs the MPMC and RPMC appropriations based on manpower plans provided by the DC/S M&RA.

        (4) Submits data in the required automated format for DON data base updates, and provides the same data as requested within the Marine Corps.

        (5) Coordinates the budget review process for the Marine Corps.

        (6) Conducts a Fiscal Review for Executability to identify problems and recommended changes prior to the POM being submitted. The review is conducted late in the development process in order to enable the review of specific programs.

    c. Deputy Chief of Staff for Requirements and Programs. The DC/S R&P exercises overall staff responsibility for development of the Marine Corps portion of the DON POM, preparation and submission of POM data, and coordination of Marine Corps responses through the program review process,

less budget reviews coordinated by FDMC. This includes all POM-related DP updates.

d. <u>Deputy Chief of Staff for Manpower and Reserve Affairs</u>. The DC/S M&RA exercises the overall responsibility for development of the POM active, reserve, and civilian personnel average strengths. The DC/S I&L reviews the civilian manpower plan prior to costing and provides feasibility estimates with respect to the O&MMC appropriation. The DC/S M&RA will provide FDMC with the man-year averages in the form of active and reserve manpower plans to meet assigned end strengths. The DC/S M&RA will also provide FDMC with Operation and Maintenance Marine Corps Reserve (O&MMCR) TOA displays.

e. <u>Deputy Chief of Staff for Installations and Logistics</u>. The DC/S I&L provides the FDMC the cost data for Operation and Maintenance, Marine Corps (O&MMC), Military Construction (MCON), Military Construction, Naval Reserve (MCNR), and Family Housing Management Account (FHMA) TOA displays.

f. Assistant Chief of Staff, Command, Control, Communications and Computer, Intelligence and Interoperability. The AC/S C4I2 assists the FDMC with preparation and submission of automated data.

3. <u>Joint Strategic Planning System Document Cost Estimation.</u> Frequently the Chairman, Joint Chiefs of Staff (CJCS) will request that the services estimate the costs to achieve the goals and force levels in various Joint Strategic Planning System (JSPS) documents. Estimating the costs of these plans is done according to the following responsibilities.

a. Commanding General Marine Corps Research, Development, and Acquisition Command. The CG MCRDAC:

(1) Furnishes the FDMC a PMC TOA display, and an analysis of cost deviations between plan data and the current FYDP.

(2) Ensures the plan includes accurate R&D objectives.

b. Deputy Chief of Staff for Plans, Policies, and Operations. The DC/S PP&O:

(1) Exercises overall responsibility for developing Marine Corps response to such requests.

(2) Monitors, in coordination with the DC/S R&P, Navy plan development, to ensure that Marine Corps plan objectves funded by DON appropriations are included in Navy plan force levels.

c. <u>Fiscal Director of the Marine Corps</u>. The FDMC:

(1) Assigns a member of the fiscal division as costing representative on the plan cost-estimating team when requested by the DC/S PP&O. This representative is the primary Marine Corps point of contact for all costing matters.

(2) Determines, through direct liaison with the Navy costing representative, costing data submission details.

(3) Provides detailed data and format instructions to all concerned Marine Corps commands and staff agencies.

(4) Provides MPMC and RPMC costing based on the manpower plan furnished by the DC/S M&RA.

(5) Consolidates and compiles in appropriate format cost and manpower data for Marine Corps appropriations.

(6) Submits, in coordination with the DC/S R&P, required cost and manpower data for Marine Corps appropriations to the Navy plan costing representative for consolidation of the DON input and delivery to the joint staff.

(7) Provides copies of the Marine Corps submission to all interested Marine Corps commands and staff agencies.

d. <u>Deputy Cheif of Staff for Manpower and Reserve Affairs.</u> The DC/S M&RA furnishes the FDMC and the DC/S PP&O a military personnel manpower plan and any supporting analyses required.

e. <u>Deputy Chief of Staff for Aviation</u>. The DC/S Avn furnishes the Assistant Chief of Naval Operations for Air Warfare (OP-05), in coordination with the DC/S R&P, updated copies of the Marine Corps aircraft planning force objectives for costing by Department of the Navy Program Information Center (DONPIC). Also, the DC/S Avn monitors, in coordination with the DC/S R&P and the DC/S PP&O, DON plan development to ensure aviation-related Marine Corps objectives funded by DON appropriations are included in DON plan force levels.

f. <u>Deputy Chief of Staff for Installations and Logistics</u>. The DC/S I&L furnishes the FDMC an O&MMC TOA display.

g. <u>Deputy Chief of Staff for Requirements and Programs</u>. The DC/S R&P provides current programming information to the DC/S PP&O as requested.

6003. <u>UPDATING THE FUTURE YEARS DEFENSE PROGRAM</u>. The FYDP records prior SecDef decisions emanating from the PPBS. Within the DON, the FYDP is stored in the DON NHPS. There are three

annual updates of the NHPS data base to record changes in the FYDP. These updates normally occur in April (to record changes developed in the POM), September (OSD budget submission), and December (Presidential budget submission). In addition, out-of-sequence updates may be required for special purposes, such as amended budget submissions and major program realignments. Update of the DP/NHPS is accomplished through the submission of net changes, by Program Element Number (PEN), to the previous data base.

1. <u>Deputy Chief of Staff for Requirements and Programs</u>. The DC/S R&P furnishes an updated Troop List to the CG MCRDAC, the DC/S M&RA, and the DC/S I&L to be used as the foundation for the PMC, MPMC, and O&MMC FYDP updates.

2. <u>Commanding General, Marine Corps Research, Development, and Acquisition Command</u>. The CG MCRDAC furnishes the FDMC the PMC net change data, by quantity, dollars, and PEN.

3. <u>Fiscal Director of the Marine Corps</u>. The FDMC:

    a. Determines, through the Comptroller of the Navy, the details for submitting required data for DP and NHPS updating.

    b. Provides detailed instructions for submission of the data.

    c. Costs the MPMC & RPMC appropriations based on the manpower plan.

    d. Consolidates cost and manpower data to update the DP/NHPS and coordinates preparation and submission of the automated data base.

    e. Updates the Marine Corps FYDP data base as required, and ensures accurate and direct submission of the POM once developed by DC/S R&P.

    f. Furnishes DONPIC, via DC/S R&P, the average military pay rates used for the updates.

4. <u>Deputy Chief of Staff for Manpower and Reserve Affairs</u>. The DC/S M&RA furnishes the FDMC MPMC and RPMC manpower plans, and a civilian personnel net change manpower data display, expressed in terms of end-strenghts and man-years, by PEN. The DC/S M&RA also furnishes O&MMCR data displays as required.

5. <u>Deputy Chief of Staff for Installations and Logistics</u>. The DC/S I&L:

    a. <u>Furnishes FDMC</u>:

        (1) The O&MMC net change data expressed in dollars, by PEN.

        (2) The Marine Corps Industrial Fund (MCIF) net change data in dollars, by PEN.

        (3) The Navy Stock Fund, Marine Corps Division (NSF-MCD) net change data in dollars, by PEN.

        (4) Marine Corps MCON, FHMA, and MCNR net change data, expressed in appropriate formats.

    b. Submits Marine Corps family housing net change data for Naval Facilities Command (NAVFAC) through the DC/S R&P.

6. Assistant Chief of Staff, Command, Control, Communications and Computer, Intelligence and Interoperability. The AC/S C4I2 assists the FDMC as requested with automated data preparation.

MARINE CORPS PLANNING AND PROGRAMMING MANUAL

CHAPTER 7

REQUIREMENTS AND PRELIMINARY PROGRAM DEVELOPMENT

MARINE CORPS PLANNING AND PROGRAMMING MANUAL

FIGURE

MARINE CORPS PLANNING AND PROGRAMMING MANUAL

CHAPTER 7

REQUIREMENTS AND PRELIMINARY PROGRAM DEVELOPMENT

7000. <u>INTRODUCTION</u>. This chapter builds on the more general approach of the previous chapters. It describes the precise development and staffing of various requirements documents and program initiatives, and the action required by various commands and staff agencies.

7001. <u>GENERAL</u>

1. Within the requirements of the DoD Planning, Programming, and Budgeting System, Marine Corps requirements determination, programming and budgeting procedures measure our total requirements, across all appropriations, against our fiscal resources. These processes result in recommendations and decisions that best meet the needs of the Marine Corps within available resources.

2. Figure 7-1 portrays how national interest considerations flow through various levels of the Government and DoD to eventually become programmed forces. To build the Marine Corps program, the Marine Corps system starts with available forces, assesses their capability, determines alternatives, and programs toward the goals established in the planning process within available resources.

3. The Marine Corps system must operate efficiently within the context of the Federal budgetary system, the DoD PPBS, and the Navy/Marine Corps PPBS relationship. The dynamics of these external systems create pressures that continually affect available resources and program execution. Program submission schedules, PPBS complexity, and the inter-dependance of many factors in program development require wide participation of all the Marine Corps senior leadership within a very limited time period.

    a. The Federal budgetary system is a dynamic process that causes rapid changes to the services' fiscal guidance. These changes often take the form of the amended budget submissions, and defense bill deliberations. Budget deliberations are exceptionally sensitive to the political process, creating a requirement that our system be able to accommodate rapid changes to fiscal guidance, both up and down.

    b. The DoD PPBS is a 2-year process, designed to integrate the defense agencies' and the services' efforts within the overall goals of the national military strategy and objectives.
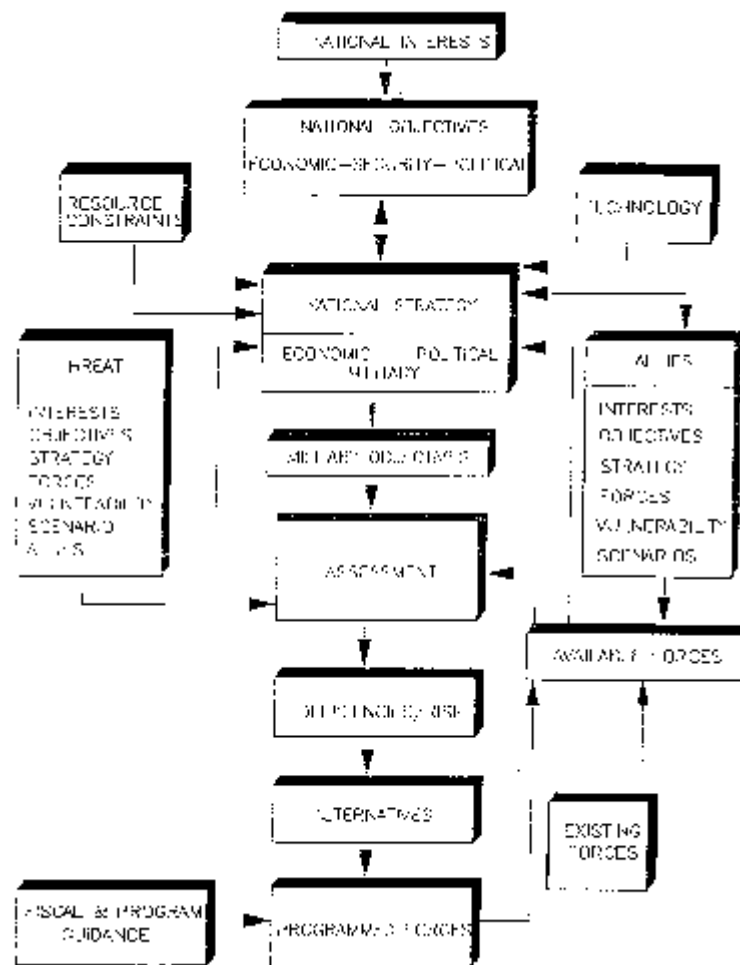
Figure 7-1. --Development of National Interest
             Considerations into Programmed Forces.

Our system must be sensitive and responsive to the requirements of the DoD.

c. Our special relationship with the Navy within the DON requires our programming cycle to both precede, and be coordinated with, the Navy POM cycle. Our program submission, actually part of the DON POM and not a separate document, must be completed well before the DON submission deadline to DoD. The unique division of the DON PPBS that permits the Marine Corps to unilaterally program certain resources, while requiring coordination and agreement with the Navy to program other resources, requires a system sensitive and responsive to emerging priorities and opportunities.

d. Our unique position within the DON means we must simultaneously develop a coordinated Marine Corps program in two different systems, our Marine Corps system and the Navy system.

(1) Our Marine Corps system develops that portion of our total program consisting of Marine Corps appropriations and those portions of Navy appropriations that are, by agreement with the Navy, the unilateral programming responsibility of the Marine Corps. The Marine Corps appropriations are Military Personnel, Marine Corps (MPMC), Reserve Personnel, Marine Corps (RPMC), Procurement, Marine Corps (PMC), Operation and Maintenance, Marine Corps (O&MMC), and Operation and Maintenance, Marine Corps Reserve (O&MMCR). The Navy appropriations that have an agreed-upon Marine Corps "share" are: Military Construction (MCON), Family Housing Management Account (FHMA), Military Construction, Naval Reserve (MCNR), Research, Development, Test and Evaluation (RDT&E), and Navy Stock Fund, Marine Corps Division (NSF-MCD). The resources programmed in Marine Corps appropriations, and unilaterally by the Marine Corps in Navy appropriations, are commonly referred to as "green dollars."

(2) The Navy appropriations that provide Marine Corps resources are: RDT&E, (particularly for aircraft), Aircraft Procurement, Navy (APN), Weapons Procurement, Navy (WPN), Other Procurement, Navy (OPN), Operation and Maintenance, Navy (O&MN), and Military Personnel, Navy (MPN). These provide, among other things, our aircraft aircraft weapons, and operation and maintenance for air stations, and resources to fund flight hours for aviation personnel. These resources are programmed through the Navy process, by the Navy, and are commonly called "blue-in-support-of-green."

(3) The Marine Corps also has an abiding interest in Other Navy appropriations that are not traditionally included in the above category, but are still vital to our capability. These include, for example, the Shipbuilding and Conversion, Navy (SCN) appropriation that purchases ships, including

amphibious ships and Landing Craft, Air Cushion (LCAC).
Common usage refers to these funds as "blue" dollars.

      (4) The most common distinction is that "green" and
"blue-in-support-of-green" dollars provide assets and resources
used directly by Marines, while "blue" appropriations of acute
Marine Corps interest, such as SCN, provide assets and
resources used by Navy personnel in support of Marines.

      (5) Research and Development resources are yet another
unique programming category. A portion of the DON's R&D
resources are the unilateral programming responsibility of the
Marine Corps. Another portion is programmed by the Navy to items
of high Marine Corps interest, like developing aircraft. These
are determined by an agreement different than the "Blue-Green
Split."

      (6) Because the distinctions between these common
terms are not firmly established, misunderstanding often occur.
Those using these terms must clarify the precise matter under
discussion and not assume common understanding.

7002. <u>BACKGROUND</u>. Marine Corps programming goals develop from
Marine Corps requirements and objectives developed in the
planning process, and are responsive to DoD and DON guidance.
This paragraph and paragraphs 7003 and 7004 below describe the
Marine Corps programming system for the "green dollar"
appropriations.

1. Marine Corps plans, threat assessments, and our capability
estimates identify warfighting requirements that, after
validation, become programming objectives. These plans,
assessments, and estimates include the Marine Corps Campaign
Plan (MCCP), the Marine Corps Long-Range Plan (MLRP), the MAGTF
Master Plan (MMP), the Supporting Establishment Master Plan
(SEMP), several supporting plans, and the Program Assessments.

2. The major external guidance affecting requirements
development and resource allocation are DoD's Defense Planning
Guidance (DPG), the Department of the Navy Consolidated
Planning and Programming Guidance (DNCPPG), and the unified
commanders' Integrated Priority Lists (IPL's).

    a. The DPG is the SecDef's guidance to DoD for planning
and programming. It gives the Services priorities and resource
allocations for POM development; as well as the strategic
framework in which the Forces will eventually function.

    b. The DNCPPG is the DON counterpart of the DPG. It gives
the Navy and Marine Corps the Secretary of the Navy's guidance
for POM development. If not already established separately,
the DNCPPG establishes the separate fiscal guidance for

development of the Marine Corps-unique (green dollar) portion
of the DON POM.

     c.   The Unified Commanders submit their IPL's after
coordination with the appropriate Fleet Marine Force Commanders.
These IPL's are the CINC's way of telling the DoD, the JCS,
the DON, the Navy, and the Marine Corps, their concerns and
needs relative to the PPBS.

3.   POM Serials expedite distribution of POM development
instructions and guidance within a time-constrained and dynamic
process.   The DC/S R&P and other staff agencies publish POM
Serials.   All are coordinated through DC/S R&P.   These are
unofficial documents, but carry the force of doctrine within
program development.

7003.   <u>DEVELOPMENT OF REQUIREMENTS</u>.   Fleet Marine Force
requirements are initiated either from within the Marine Corps
or by another service or defense agency.   Each service has its
own internal system, but various standardized methods of
requirements documentation have been established, over time, to
communicate these requirements through the DoD PPBS.   The
entire process through which MCCDC evaluates MAGTF missions and
operational employment concepts against capabilities and
emerging technological opportunities is called, in total,
requirements validation.   The process results in a
determination that the FMF has a valid need, or requirement.
Reference (b) provides guidance concerning the development and
processing of Marine Corps requirements documents.

1.   Requirements are initiated within the Marine Corps through
the Concept Based Requirements System (CBRS).   Proposed
requirements generated from agencies external to the Marine
Corps are also tested against CBRS for Marine Corps
applicability.   This approach ensures that changes to MAGTF
doctrine, training, force structure and materiel are driven by
operational concepts, and not by fiscal or bureaucratic
imperatives.   It begins with the development and validation of
operational concepts by MCCDC.   Analyses of operational
concepts by specific mission areas identify shortfalls, or
deficiencies, in existing capabilities.

2.   Through coordination with MCRDAC, MCCDC refines operational
concepts based on technological opportunities and threats
identified through research and development.   In this fashion,
unexpected technological and scientific breakthroughs are
tested against continuing MAGTF missions.   Our operational
concepts may then be altered to respond to new technology.   An
example of this relationship in the future may be the sudden
development of manportable directed energy weapons capable of
defeating armor.   Our ground combat concepts would be altered
significantly to both exploit and defend against this emerging
capability.

3.   If, after evaluation of possible doctrine, training, and

force structure options, MCCDC determines that a materiel acquisition program is necessary to satisfy a shortfall, the result is a determination of a mission need. This mission need determination is based on a number of supporting studies and analyses, normally a Mission Area Analysis (MAA).

4. After determining that a deficiency must be addressed by a materiel acquisition project, or after examination of externally generated requirements, MCCDC will prepare and initiate the appropriate documents for consideration through the staffing process. The documentation of requirements in the prescribed formats is a complex and very important part of program development. These formats have developed as a result of guidance from DoD and other agencies. Their careful and expeditious completion and staffing are essential to properly articulate and justify our warfighting requirements to the DON and the DoD. Professionally developed, justified, well documented requirements support our needs in compelling fashion through the entire resource allocation process, both within DoD and the Congress. All requirements documents are carefully tracked through staffing to ensure timely consideration.

5. Development, Staffing, Approval, and Promulgation of Requirements Documentation

    a. Requirements Documentation is illustrated within the most recent edition of DoD Inst 5000.1, DoD Inst 5000.2 and DoD Inst 5000.3-M.

    b. During the various stages of staff review at Headquarters, Marine Corps, principals may comment and advise on any matters deemed appropriate, but expeditious staffing must not be delayed for inter-agency resolution of contentious issues.

    c. The DC/S R&P receives final draft requirements documents from the CG MCCDC, validates programmatics, and prepares approval/disapproval endorsement for ACMC/CMC consideration. In addition, the DC/S R&P performs continuous programmatic analysis of all pending and approved requirements, along with programmatic analysis of all other aspects of Marine Corps program matters.

        (1) Programmatic analysis includes the review, monitoring, and programmatic validation of Marine Corps capability requirements as they progress from general statements of required capability in planning documents through successively refined statements in acquisition and programming documents. Throughout this process, capability requirements must be assessed in relation to troop lists and force structure; program assessment and warfighting appraisal results; budget, programming and resource realities; defense guidance; unified commanders IPL's; programs, capabilities, and issues (naval/other services/joint/OSD).

(2) Programmatic analysis and programmatic validation are continuous processes, constantly reacting to dynamic PPBS and political opportunities, conditions, and constraints. Throughout all stages of the PPBS cycle both requirements documentation and corresponding programs must be continually programmatically validated against emerging new requirements, changing missions and concepts of employment, changing fiscal, resource, political and strategic environments, and other pertinent factors.

(3) Programmatic analysis and programmatic validation are open, interactive processes that include all staff agencies and commands, coordinated by DC/S R&P. These programmatic procedures prepare the Marine Corps for the resource allocation process in the DON, the DoD, and the Congress. Among the criteria used in these analyses and validations are:

(a) Strength of requirements justification, as affected by all external matters and developments subsequent to any previous, formal approval of a requirements document.

(b) Proper program documentation.

(c) Impact of the program on the consumption (readiness) versus investment (modernization and infrastructure) relationship across the Marine Corps program.

(d) Program executability, to include:

<u>1</u> Ensuring planned expenditure profiles are reasonable and affordable in the future years of the program, and justifiable at higher levels.

<u>2</u> Timing of expenditures compared to acquisition milestones.

<u>3</u> Item construction, delivery, and fielding plan timing.

(4) Through this continual examination, challenge, and programmatic validation of requirements and their corresponding programs the Marine Corps develops the strongest possible program, optimizing the use of our resources both within individual programs and for the entire program. This continuous programmatic validation answers the challenges to our requirements and programs from the senior levels of the Defense Department and Government as the program moves to execution.

7004. MARINE CORPS APPROPRIATION PROGRAM DEVELOPMENT.

Fundamental to our program development for Marine Corps appropriations ("green dollar") is the construction of core programs in each appropriation and certain subdivisions of appropriations. This permits the protection of the most important capabilities and detailed comparison and competition of all requests above that level to achieve the greatest increase in Marine Corps capability for the available resources. In this way the allocation of resources is optimized in each POM.

1. <u>Core Program Development</u>. Core funding levels, designed to be below expected fiscal guidance, are developed for each appropriation and many subdivisions of appropriations that are the unilateral programming responsibility of the Marine Corps. This process is unique to the development of the "green dollar" program. "Blue" and "blue-in-support-of-green" program development follows a different process detailed in later paragraphs.

     a. Core funding levels are based solely on the fiscal guidance provided by DoD. Cores permit detailed, comparative examination of program initiatives and requests at the margin of our resource availability. Core levels allow appropriation sponsors to protect the most important parts of their programs from this detailed comparative examination.

          (1) The general rule is that core levels protect, within resource limits, current-capability programs; i.e., those allocated budget-year resources in previous programming cycles. For example, if a procurement program was awarded resources in POM 94 for either FY 94 or FY 95, it is normally considered "current capability" for POM 96. It is part of the "programmed forces" in Figure 7-1.

          (2) In times of increasing resources, core levels generally protect the resources necessary to support the previously programmed force.

          (3) In times of declining resources, core levels provide less resources than necessary to support previous programming decisions. This forces decisions on what current capability programs must be re-evaluated in competition with new initiatives, through the POM process.

     b. Core funding levels are established in June-September of the year preceding program submission. Core funding levels are developed and continually evaluated, against emerging fiscal considerations, by the DC/S R&P.

     c. Core level establishment generally follows a set
sequence designed to address the fundamental decisions first.

          (1) The usual sequence of core funding level
establishment is to set the military manpower core levels using
a cost estimate based on an end-strength level decision by the
Commandant. Both the active force cost and the reserve force
costs are set at this time. This sets the MPMC and the RPMC
funding levels. If an end-strength level cannot be
definitively determined in advance, several alternatives may be
developed simultaneously with core levels being set at a level
to support the lowest alternative.

          (2) O&MMC and O&MMCR cores are then set at a level low
enough to cause an examination of a majority of the variable,
or discretionary, costs within these appropriations.

          (3) The PMC core is set after an exhaustive review of
the continuing funding needs of programs that were approved in
previous budgets. This is part of the "available force" that
flows from a combination of the existing and programmed forces
in Figure 7-1.

          (4) MCON, MCNR, FHMA, and NSF-MCD cores are set based
on the best information available of the lowest Total
Obligational Authority (TOA) that Congress will appropriate,
and the total amount of funding previously allocated to the
cores of other appropriations.

     d. Cores may be revised many times based on new guidance
on expected funding levels. After publication of DoD fiscal
guidance for program development, final core funding levels are
formally established in a POM serial.

2. MCON Program Development. The MCON program develops in
response to the priorities in the MMP, the SEMP, and other
guidance as issued from time to time by the Commandant. See
Figure 7-2.

     a. A POM serial will be published by the DC/S R&P, in
coordination with the DC/S I&L, as soon after establishment of
core levels as possible, calling for military construction
initiatives.

     b. The DC/S I&L publishes his own internal instructions,
and develops a priority list of MCON projects through a
cross-agency MCON Steering Committee and MCON Review Board.
Both are appointed by the DC/S I&L.
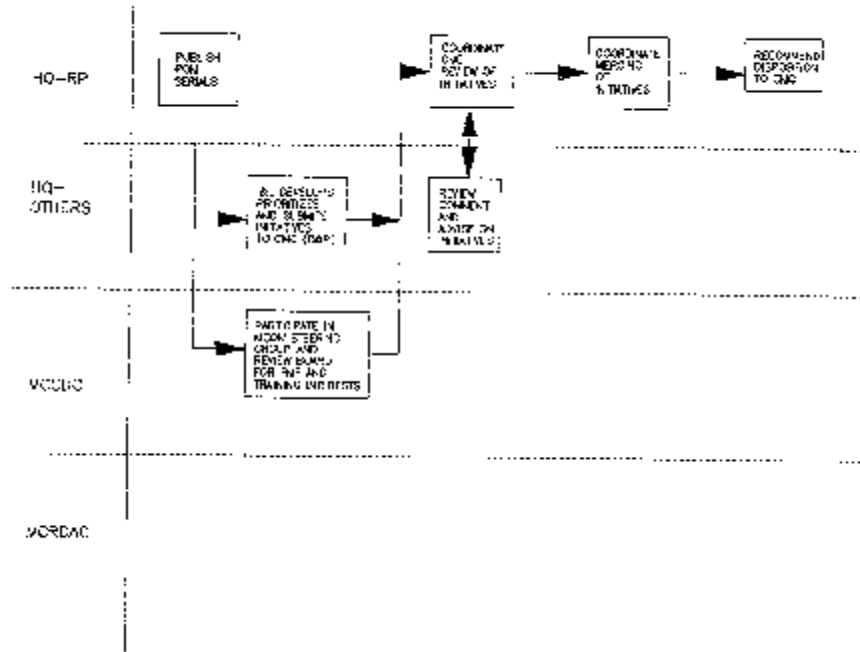
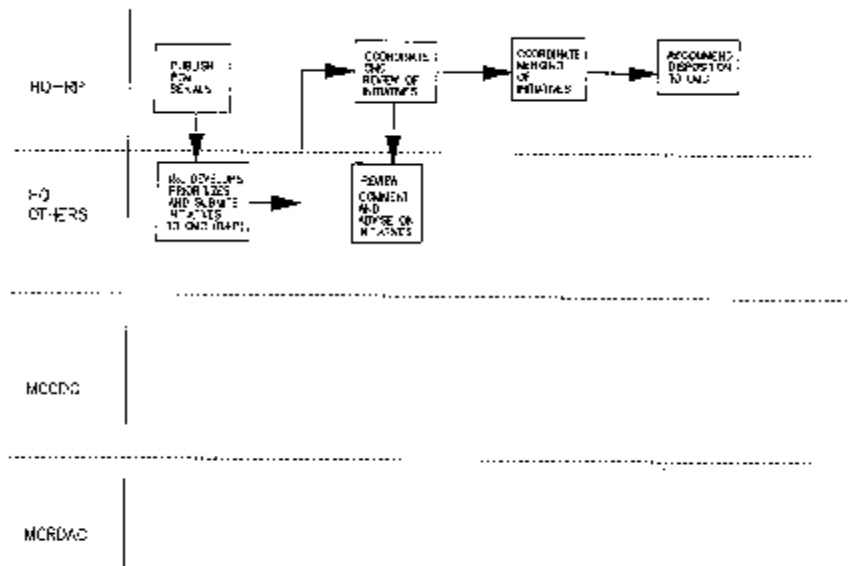Figure 7-3. --Military Construction Program Development.

Figure 7-3. --Family Housing Program Development.

c. After development of the recommended MCON program, it passes to CMC (RP) for review by Headquarters staff agencies and all appropriate commands.

d. At final POM development, the ranked list of MCON initiatives is merged with the program initiatives from all other appropriations, and a final program recommendation is forwarded to the Commandant for decision and further transmittal to the DON.

3. <u>FHMA Program Development</u>. FHMA program development follows a program development process similar to MCON. See Figure 7-3.

a. As soon after establishment of core levels as practical, DC/S R&P, in coordination with DC/S I&L, will publish instructions for the solicitation of the FHMA initiatives and core program.

b. Following internal development of the core program and above-core initiatives, the resulting POM submission is routed to all appropriate staff agencies and commands for comment.

c. At final POM development, the ranked list of FHMA initiatives is merged with the program initiatives from all other appropriations, and a final program recommendation is forwarded to the Commandant for decision and further transmittal to the DON.

4. <u>Military Manpower Program Development</u>. This initiative process includes both regular and reserve manpower initiatives. See Figure 7-4.

a. Similar to the appropriations above, a POM Serial is published early in the process to solicit force structure and end strength initiatives.

b. All initiatives for additional structure require identification of offsets on a one for one basis or approval by the Programming Committees before being included in the POM Troop List.

(1) MCCDC will submit such FMF initiatives as desired, and any non-FMF initiatives that address those non-FMF areas under his cognizance. These non-FMF initiatives may include, among others, any that address training and education.

(2) Headquarters staff agencies submit non-FMF force structure and end strength initiatives within their area of staff supervision.
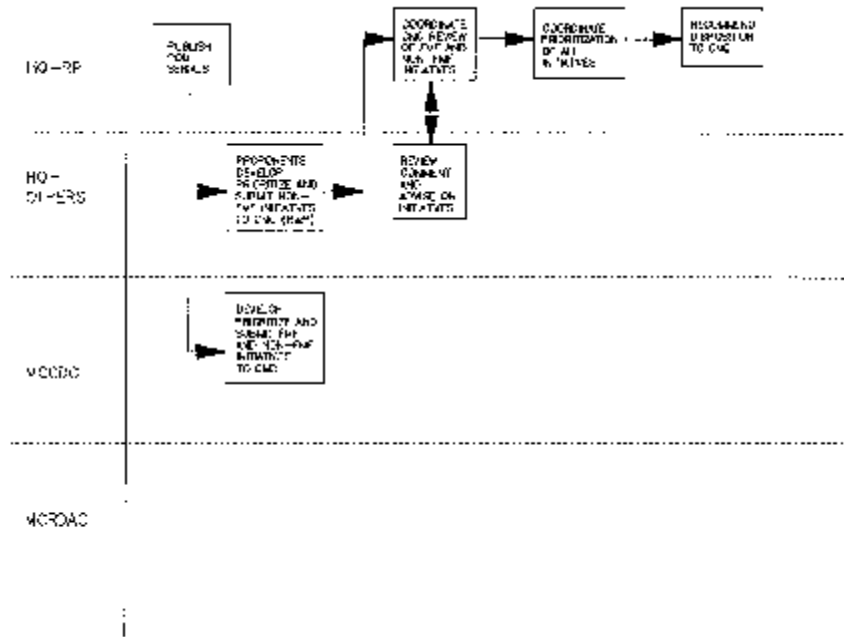
Figure 7-4. --Military Manpower Program Development.
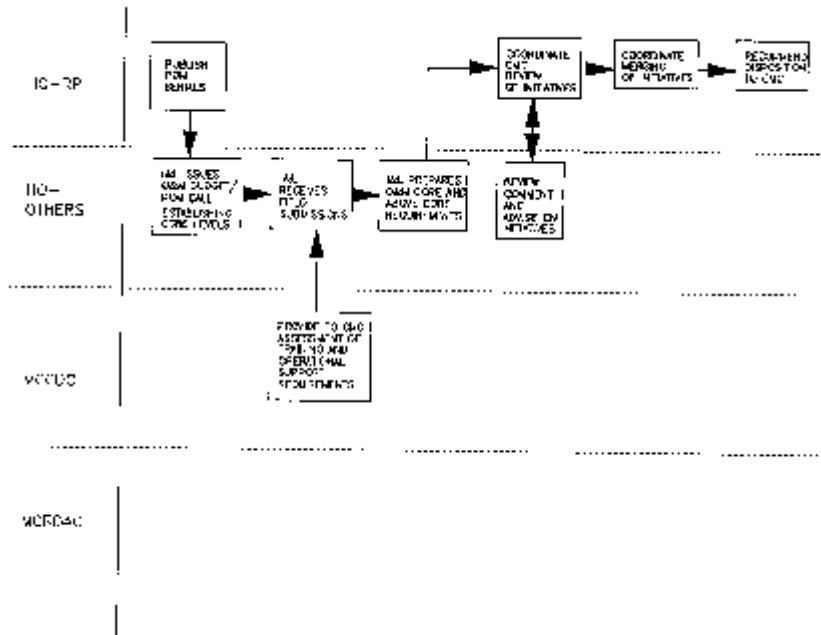
Figure 7-5. --Operation and Maintenance Program Development.

c. DC/S R&P coordinates the review of these initiatives by all appropriate commands and staff agencies.

d. After completion of staffing, DC/S R&P coordinates the rank-ordering, or prioritizing, of all the force structure and end strength initiatives.

e. At final POM development, the ranked list of force structure and end strength initiatives is merged with the program initiatives from all other appropriations, and a final program recommendation is forwarded to the Commandant for decision and further transmittal to the DON.

5. <u>Operation and Maintenance Program Development</u>. See Figure 7-5. Unique among Marine Corps appropriations, development of the O&MMC program depends on accurate field command submission of resource data in the form of a combined POM and budget submission. This requires the creation of an O&M core level before other core levels are recommended. In times of decreasing resources, the O&M core must be set very low to avoid repeated submissions and changing guidance as the field is preparing documentation.

a. Following publication of the appropriate POM Serial by DC/S R&P in coordination with DC/S I&L, a combined POM and budget call is issued by DC/S I&L.

b. Field submissions are received and evaluated by DC/S I&L, along with an assessment of FMF training and operational support requirements provided by CG MCCDC.

c. With the above information, DC/S I&L prepares the O&M core and the above-core program.

d. DC/S R&P coordinates the staff consideration of the submitted O&M program.

e. During final POM development, the above-core O&M initiatives are merged with the program initiatives from all other appropriations, and a final program recommendation is forwarded to the Commandant for decision and further transmittal to the DON.

6. <u>Manpower and Reserve Affairs Program Development</u>. DC/S M&RA, after receipt of active and reserve military manpower serials published by DC/S R&P, issues a call within M&RA and to the field for all POM initiatives. MCCDC will submit separately any Marine Corps Reserve initiatives and requests that deal with their role as the FMF proponent. See Figure 7-6.

a. DC/S M&RA publishes a call for POM initiatives from within the department and to the field, specifically 4th Division/Wing for inclusion in the POM.
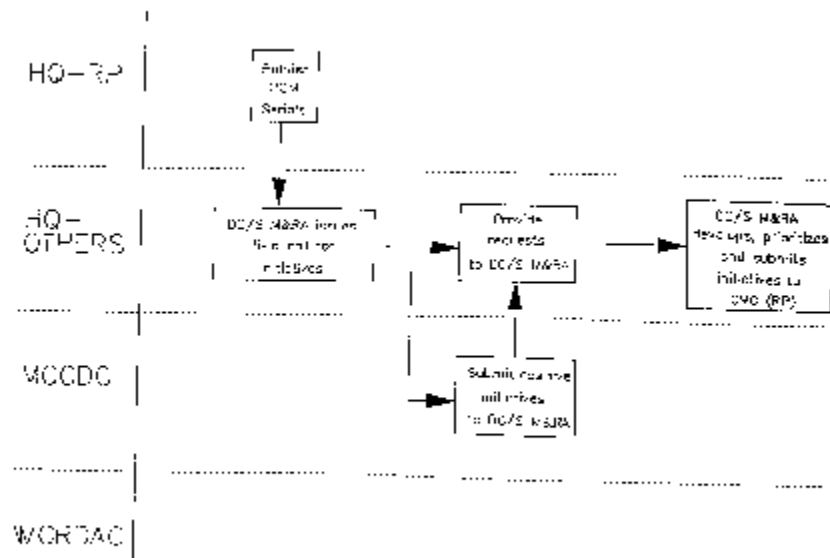
Figure 7-6. --Reserve Program Development.

    b. Initiatives from within the M&RA Department and from
the field are submitted.

    c. DC/S M&RA holds Manpower PEG meeting to assess and
prioritize the initiatives submitted for each account. (MPMC
and RPMC)

    d. DC/S M&RA submits the prioritized initiatives to DC/S R&P.

    e. DC/S R&P coordinates the review of these initiatives by
all appropriate staff agencies.

7. <u>Civilian Personnel Program Development</u>. Civilian personnel
are paid from the O&MMC, O&MMCR, and the Marine Corps
Industrial Fund (MCIF). Adjustments to the labor force are
made via the field call issued by DC/S M&RA. The results of
POM decisions on the civilian personnel program are reported by
DC/S R&P to DC/S M&RA upon conclusion of the POM.

    a. DC/S M&RA, in coordination with DC/S I&L, upon receipt
of the civilian personnel serial, issues a field call for
development of civilian manpower requirements.

    b. DC/S M&RA reviews and distributes initiatives to
functional/structure sponsors for prioritization.

    c. DC/S M&RA holds a civilian personnel PEG meeting to
assess and prioritize civilian requirements Marine Corps wide.

    d. DC/S M&RA coordinates civilian personnel initiatives
with DC/S I&L prior to submission to DC/S R&P.

    e. DC/S R&P coordinates the review of these initiatives by
all appropriate staff agencies.

8. <u>RDT&E Program Development</u>. By its nature, this program
requires very carefully developed decisions to comply with the
long range goals established in the MLRP, the mid range
objectives in the MMP, our future operational concepts,
procurement plans, and the Navy's programming decisions that
affect our "blue-in-support-of-green" concerns. The process is
shown in Figure 7-7 for those RDT&E resources that are, by
agreement with the Navy, our responsibility to program. This
does not reflect any of the procedures for joint determination,
with the Navy, of "blue dollar" or "blue-in-support-of-green
dollar" RDT&E priorities.
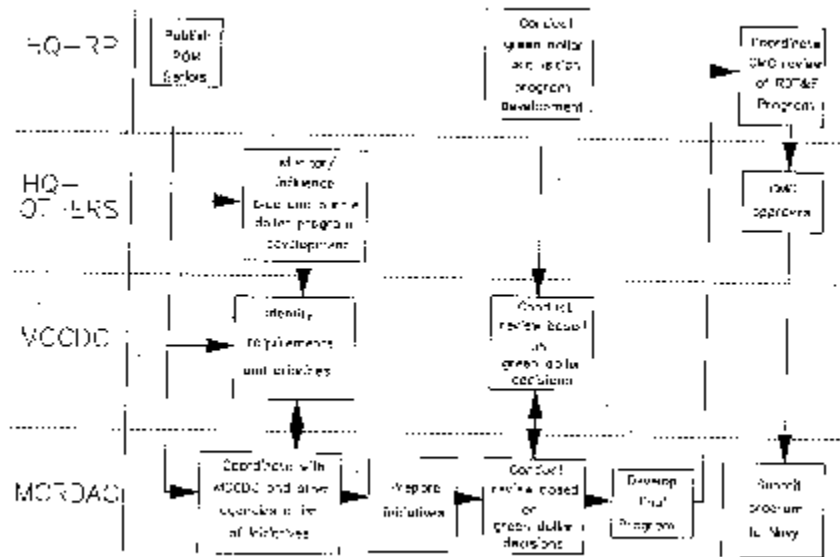
a. RDT&E initiatives can be separated into two broad categories:

(1) RDT&E associated with specific acquisition initiatives is incorporated as an integral part of the initiative it supports. That RDT&E becomes a part of the "tails" of that acquisition initiative. Therefore, RDT&E does not compete separately against other acquisition initiatives in any program review or evaluation.

(2) Nonacquisition RDT&E is developed by MCRDAC and the functional sponsor.

b. The RDT&E initiatives, developed by MCRDAC in close coordination with MCCDC and appropriate Headquarters agencies, will be continually evaluated by MCCDC as various changes occur in final program development.

c. Immediately following the final resolution of acquisition programming issues, both Marine and Navy, the prioritized RDT&E program initiatives will be submitted by CG MCCDC to CMC for final coordination and approval through the standing programming committees. Submission to the Navy for inclusion in the DON POM follows CMC approval.

d. In coordination with CG MCCDC and CG MCRDAC, the AC/S C4I2 overseas the management of the "purple" RDT&E funds allocated to the Marine Corps through the National Security Agency's (NSA) Tactical Cryptologic Program (TCP).

9. <u>Structure Program Development</u>. Structure is the sum of all the Tables of Organization (T/O's) of the Marine Corps, including inactive or cadre T/O's. Structure changes must be strictly controlled.

a. Any structure changes not reflected in the current edition of the Troop List provided by DC/S R&P must be requested through an appropriate programming initiative. Defense planning guidance on readiness levels may be issued as mandate to certain minimum manning percentages. Thus, structure changes without accompanying mannning and training changes impact on manning percentages.

b. In addition, Tables of Equipment (T/E's) are maintained for all FMF structure, including inactive or cadre T/O's. Structure changes without careful consideration of the resource impacts, in both manpower and materiel, create turbulence in the program and adversely affect FMF support. A schematic of the structure program development process is at Figure 7-8.
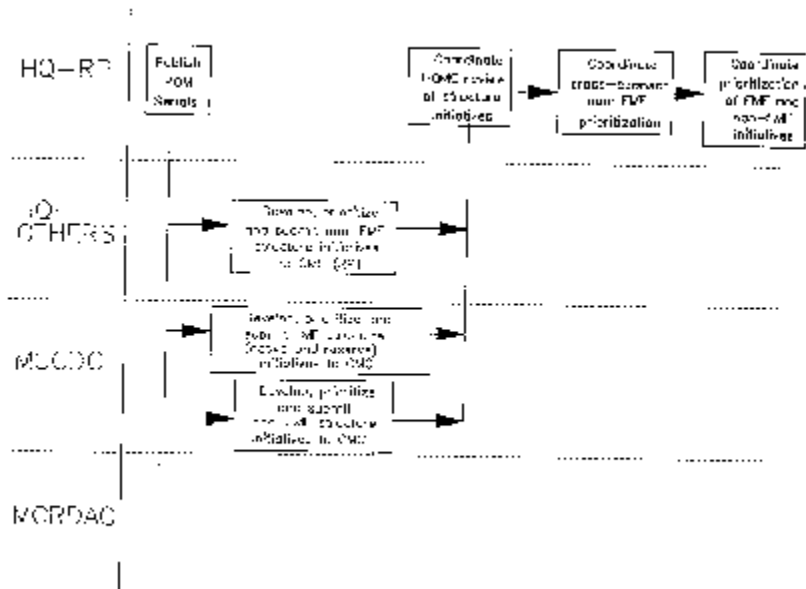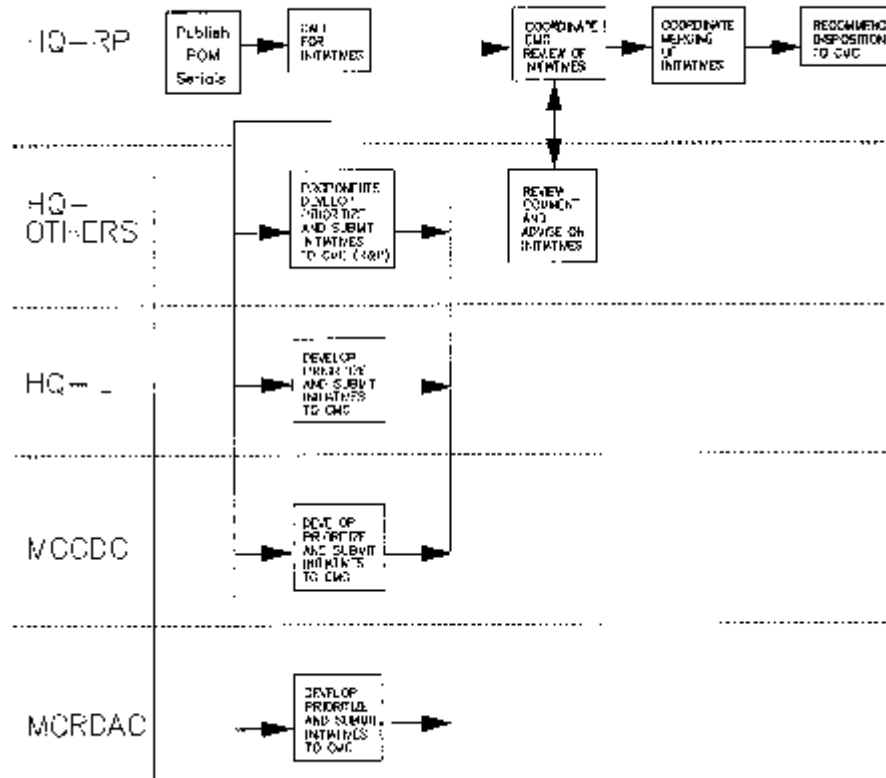
Submission Process.

c. After notification, through the appropriate POM Serial published by DC/S R&P, commands and agencies develop, evaluate, and submit desired structure initiatives.

d. The DC/S R&P coordinates the HQMC staff review of all initiatives, and the merging of all structure initiatives between the FMF and non-FMF.

e. During final POM development, the structure initiatives are merged with all other initiatives from all other appropriations to develop the final program.

10. <u>Non-FMF Acquisition Initiatives Submission Process</u>. Non-FMF acquisition initiatives are the vehicle to request the procurement of items for use by other than FMF organizations. As the proponent for the Supporting Establishment, the DC/S I&L retains the authority to establish priorities for Non-FMF acquisition initiatives. Because of the complexity of acquisition projects, and the resulting budget process scrutiny, detailed, automated formats are used for their submission. These formats, and any necessary training, are available for program managers and others upon request from DC/S R&P. The process schematic is at Figure 7-9.

a. Publication of the appropriate POM Serial by DC/S R&P provides notification of the submission schedule and submission instructions.

b. Appropriate commands and agencies submit initiatives in relative benefit order according to instructions in the POM Serial.

c. The DC/S R&P coordinates the review and merging of all (FMF and Non-FMF) initiatives.

d. During final program development, materiel acquisition initiatives are merged with all other program initiatives to produce a complete Marine Corps program.

11. <u>FMF Materiel Acquisition Initiatives Submission</u>. Similar to the process above, materiel acquisition initiatives for the FMF are submitted using the same format and following the instructions of the same POM Serial. See Figure 7-10.

a. The essential difference is that all FMF materiel acquisition initiatives are submitted by MCCDC.

b. During the preparation process, MCRDAC carefully coordinates with MCCDC to identify and clarify requirements, and develop initiatives that best meet the guidance of MCCDC.
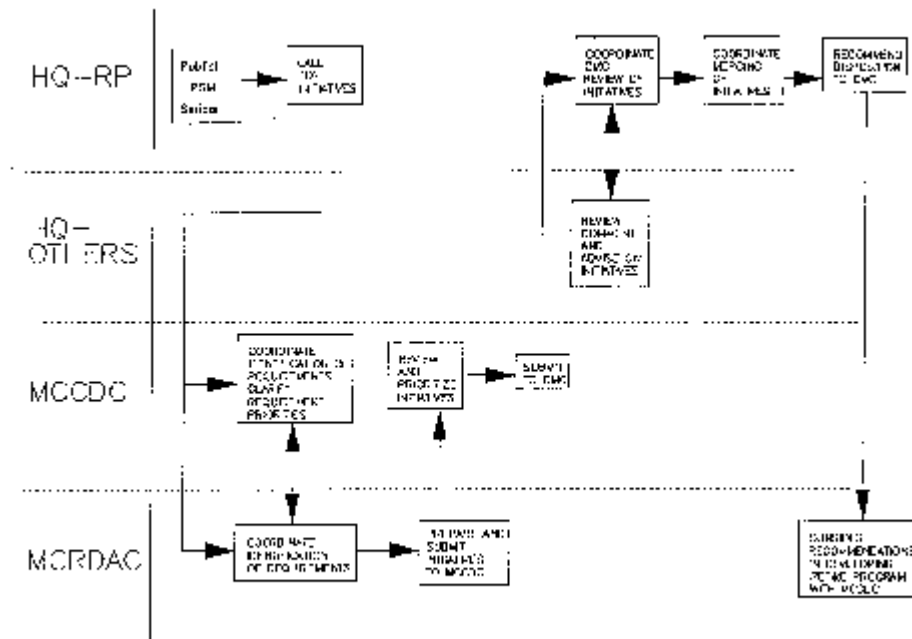
Submission Process.

RESOURCE SPONSORS

PLATFORM SPONSORS

- SUBMARINE . . . . OP—02
- SURFACE . . . . OP—03

- AVIATION . . . . OP—05

SUPPORT SPONSORS

- MANPOWER, PERSONNEL, TRAINING . . . . . OP—01
- LOGISTICS . . . . OP—04
- UNDERSEA SURVEILLANCE/ OCEANOGRAPHY . . . . OP—096
- MEDICAL . . . . OP—093
- INTELLIGENCE . . . . OP—092

- R&D . . . . OP—098
- C3 . . . . OP—094
- COMMAND/ADMINISTRATION . . OP—09B
- PLANS, POLICY, OPERATIONS . . . . OP—06

Development.

c. Upon completion of initiative development, MCCDC reviews and places in relative benefit order all initiatives, then submits them to DC/S R&P for review.

d. As with other initiatives, DC/S R&P coordinates the merging of these initiatives with all other initiatives during final program development.

7005. MARINE CORPS PROCEDURES FOR NAVY PROGRAM DEVELOPMENT. The essence of the Marine Corps programming challenge is the creation of a coordinated program best suited to Marine Corps needs while working through three separate and sometimes conflicting systems. The following procedures serve to keep our "blue," "blue-in-support-of-green," and "green" programs coordinated.

1. Navy Programming. The Navy's program develops through resource sponsors and the Deputy Chief of Naval Operations for Program Planning (OP-08). The resource sponsors control those portions of all appropriations that support their chartered area. For example, the Assistant Chief of Naval Operations for Undersea Warfare (OP-02) controls all MPN, O&MN, MCON, SCN, etc., that support the Navy's submarine force. Similarly, and of greater concern to the Marine Corps, the Assistant Chief of Naval Operations for Air Warfare (OP-05) controls all the resources that support naval aviation. The Assistant Chief of Naval Operations for Surface Warfare (OP-03) controls all the resources for surface warfare, to include amphibious warfare. See Figure 7-11.

2. Navy Appropriations of Marine Corps Concern. Those Navy appropriations of direct concern to the Marine Corps are Aircraft Procurement, Navy (APN); Weapons Procurement, Navy (WPN); Research, Development, Test and Evaluation, Navy (RDT&E,N); Other Procurement, Navy (OPN); Operation and Maintenance, Navy (O&MN); and Military Personnel, Navy (MPN). These appropriations support, among other things, our aircraft and aviation weapons procurement, certain air station and aviation operations, chaplains and corpsmen assigned to Marine Corps organizations, and various research and development projects. Shipbuilding and Conversion, Navy (SCN) is of interest as it relates to amphibious and fire support ships.

3. The resource sponsors develop programs within their area of sponsorship, and submit Sponsor Program Proposals (SPP's) to the Deputy Chief of Naval Operations for Program Planning (OP-08). OP-08 centrally develops the Navy and DON program for submission to the CNO, the CMC, and the SecNav for approval.

4. Those programming issues that are of concern to the Marine Corps must first successfully compete at the resource sponsor level and be included in the sponsor program proposal.

POM APPRAISALS

PREVIEW	(OP-81/70/00K)
MARITIME STRATEGY REVISION IV	(OP-06)
TECHNOLOGY AND DEVELOPMENT	(OP-098)
CHEMICAL WARFARE (PAPER)	(OP-07)
SPACE PROGRAMS	(OP-07)
STRIKE/ASUW	(OP-07)
AAW	(OP-07)
MINE WARFARE	(OP-07)
ASW	(OP-07)
AMPHIBIOUS WARFARE	(OP-07)
C3I	(OP-07)
ELECTRONIC WARFARE	(OP-07)
SPECIAL WARFARE	(OP-07)
TOTAL FORCE	(OP-06)
STRATEGIC/THEATER NUCLEAR WARFARE	(OP-07)
NAVAL RESERVE	(OP-095)
READINESS AND SUSTAINABILITY	(OP-81)
LOGISTICS/FLEET SUPPORT	(OP-81/OP-04)
MANPOWER, PERSONNEL AND TRAINING	(OP-81)
SUMMARY NAVAL WARFARE	(OP-07)
PROGRAMMATIC PRINCIPLES	(OP 80)

Appraisals.

Then those issues must be included in the recommended program forwarded by OP-08 for approval. Due to the many diverse and competing demands for naval forces resources, a well-coordinated, well-justified, well-articulated, and consistent Marine Corps position is absolutely necessary for successful programming within the Navy system.

5. <u>Navy Warfare Appraisals</u>. See Figure 7-12. During the program planning phase, the Navy conducts programmatic warfare appraisals. The procedures vary from POM to POM, but generally each resource sponsor is given drastically lowered notional fiscal guidance or resources, and directed to submit a notional revised program to fit within the reduced guidance. The Warfare Appraisal culminates in a Summary Warfare Appraisal (SWA), that provides a notional DON program at reduced resource levels. Most often, the SWA is an independent assessment by the Deputy Chief of Naval Operations for Naval Warfare (OP-07), and does not flow from the results of the preceding Warfare Appraisals. The SWA conclusions then pass through the Navy programming forums, in order of ascending priority, of the Program Development Review Committee (PDRC), the Program Review Committee (PRC), and the CNO's Executive Board (CEB). The CMC is an associate member of the CEB, traditionally represented by the ACMC. The DC/S R&P is the Marine Corps representative to the PDRC and the PRC.

    a. To the extent the Marine Corps is able to participate, our objective is to ensure that programs of vital Marine Corps interest receive full, fair, and complete consideration.

    b. To maintain integration and coordination of all aspects of our total program, green and blue, our system for participation in this Navy process must expeditiously cross staff and command lines to quickly disseminate information and provide direction. The PRG is the designated forum to ensure all possible programmatic ramifications of the Navy Warfare Appraisal process and the Summary Warfare Appraisal are considered and that the Marine Corps position is well developed and well articulated, considering the perspective and collective professional judgment of all applicable staffs and commands. The DC/S R&P, as the chairman of the PRG, is the coordinator for Marine Corps participation in all Navy programmatic warfare appraisals.

6. <u>Marine Corps Development, Consideration, and Prioritization of Navy Program Issues</u>. Issues that develop within Navy appropriations that are of interest to the Marine Corps are commonly referred to as "blue POM issues" whether they are "blue" or "blue-in-support-of-green" issues as defined above. The inter-relationship of blue and green items and our unique MAGTF combat capability compel detailed coordination to ensure complementary and optimized capabilities.

a. As blue POM issues are developed or identified, they are passed to MCCDC for consideration. These issues will develop, and be constantly modified, within the Navy program development cycle. Constant coordination and cooperation between cognizant Headquarters staff agencies and MCCDC is imperative.

b. MCCDC will, as part of the development of all FMF-related programming matters, develop a prioritized list of all blue POM issues. This list, together with the prioritized "green" FMF materiel acquisition initiatives, will be consistent with the approved FMF priorities as identified in the MMP, the Program Assessment process, and other plans and documents. See Figure 7-13.

c. After the prioritized blue POM issues list passes to Headquarters, DC/S R&P will coordinate the necessary staffing and programmatic analysis, along with green POM initiatives and program requests. CMC will approve the blue programming issue priorities, and the approved priority lists will be given to the appropriate DC/S, who will use these priorities as guidance for developing the appropriate Navy Resource Sponsor SPP's. The DC/S R&P will act on these same priorities as our program progresses through the office of the DCNO for Navy Program Planning (OP-08). Figure 7-13 refers.

7. <u>Coordination and Staffing</u>. Constant coordination and informed decision making is necessary in an environment of continual change throughout the program development cycle. This is especially critical during the development of that part of the program that must be coordinated with the Navy.
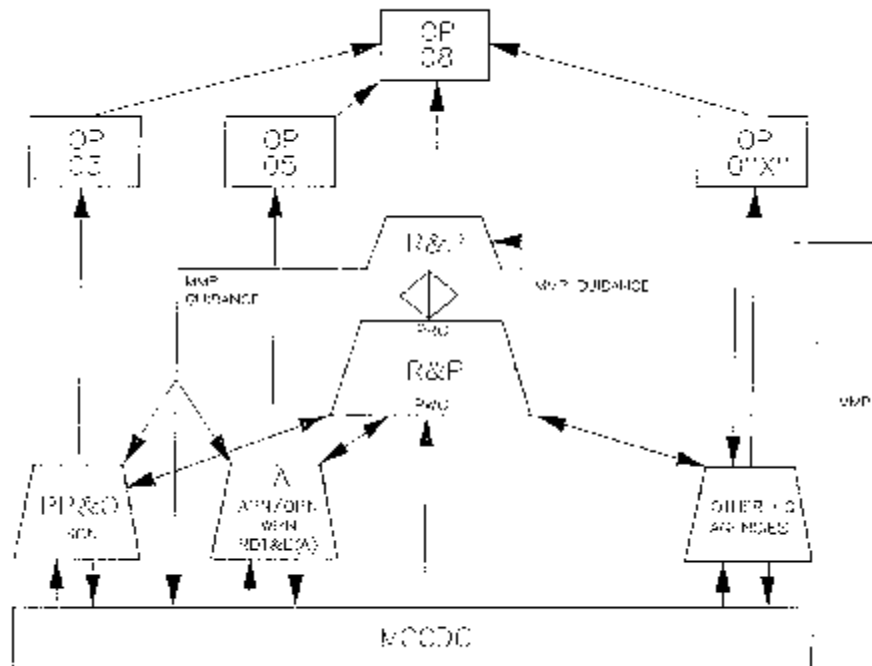
Program Issues.

MARINE CORPS PLANNING AND PROGRAMMING MANUAL

CHAPTER 8

PROGRAM PRIORITY DETERMINATION, COST EFFECTIVENESS ANALYSIS
AND FINAL PROGRAM DEVELOPMENT

CHAPTER 8

PROGRAM PRIORITY DETERMINATION, COST EFFECTIVENESS ANALYSIS
AND FINAL PROGRAM DEVELOPMENT

8000. <u>INTRODUCTION</u>. This chapter builds on the details of the
initiative submission procedures explained in the previous
chapter. This chapter explains the procedures for establishing
priorities and describes final program development. It can be
read and understood independently, but complete understanding
of the development of priorities requires acquaintance with the
preceding chapters.

8001. <u>GENERAL PRIORITY DETERMINATION</u>

1. Priority determination, or "prioritization," is a key feature
of the Marine Corps POM development process. The priorities
established in this process permit a rapid and coordinated
response to frequently changing fiscal guidance as the program
passes through to budget, authorization, and appropriation. The
processes and guidelines provide a reasoned, open process for
consideration of all programming initiatives and requests
competing to satisfy Marine Corps needs. The process begins with
the determination of relative benefits based solely on the
utility of an item represented by a program initiative. Cost is
explicitly not a consideration during relative benefit order
determination. This determination is the essential precursor to
cost-effectiveness analysis and final program development;
leading to the production of the "Order-of-Buy."

2. The goal is an objective consideration of many competing
program demands against the needs of the Marine Corps. The
process elicits, represents, combines, and uses the best
professional judgment of all involved at MCCDC, MCRDAC, HQMC,
and the FMF. The established methodology provides open,
systematic development and discussion of the logic and rationale
justifying all programming recommendations and decisions. It
compares all program initiatives and requests against the Marine
Corps needs and priorities flowing from the MAGTF Master Plan
(MMP), the Supporting Establishment Master Plan (SEMP), other
internal and external plans, the Defense Planning Guidance (DPG),
the CINC's Integrated Priority Lists (IPL's), and others. The
ranked lists of program initiatives and requests determine the
character of submissions, and form the basic guides for
constructing our Marine Corps input to the Navy POM, and
"blue" and "blue-in-support-of-green" program development with
the Navy.

3. At its root, the prioritization process is a method for
finding "wisdom in a multitude of counselors," in a disciplined

manner, with principal approval at each echelon before the distilled judgments pass to the next echelon. Consensus is much less a goal than is rational, deliberate, knowledgeable, non-parochial decision making. Consensus may be reached at any level when the logic and rationale surrounding a set of recommendations are compelling. When logic conflicts, and reasonable professionals disagree, the opposing arguments are extensively developed and presented to the appropriate principal for resolution.

4.   Those familiar with multi-attribute utility techniques and decision-analytic methodology will find the following procedures in consonance with those disciplines. Those with no formal training or prior experience with these techniques will find no further reference to these terms.

8002.   <u>PRIORITIZATION METHODOLOGY</u>

1.   Following the development of the MMP, the SEMP, and other planning documents that establish Marine Corps needs and priorities, and the establishment of core funding levels, the Deputy Chief of Staff for Requirements and Programs will call for initiatives in appropriate POM Serials. These program initiatives are usually submitted 3 to 4 months before final Marine Corps POM submission to the DON. The POM serials provide detailed guidance for submissions, in consistent formats, within areas of responsibility, facilitating the evaluation and comparison of the various demands.

2.   As the initiatives are being prepared, and as blue POM issues are developing, DC/S R&P will publish another POM Serial establishing details for relative benefit determination for all Marine Corps appropriations and blue POM issues.

3.   This process occurs within a hierarchical system, flowing from many points at the bottom toward fewer points at the top. See Figure 8-1.

     a.   A considered evaluation of the pure worth, or benefit, to the Marine Corps of each initiative, and request, and blue POM issue, gradually develops, as these move upward through the pyramid. Costs are explicitly not considered during the benefit determination process. Costs do not enter until the very last stage of program development, during the cost-effectiveness analysis and final program development. This last stage, where costs are considered, is often referred to as the "end game," and will be covered in subsequent paragraphs.

     b.   Each appropriation sponsor (M&RA (MPMC, RPMC, O&MMCR), I&L (O&MMC, FH, MCN, NSF, MCNR), MCRDAC (PMC)) and functional

PROGRAM EVALUATION GROUP

COMBINED
EVALUATION
GROUPS
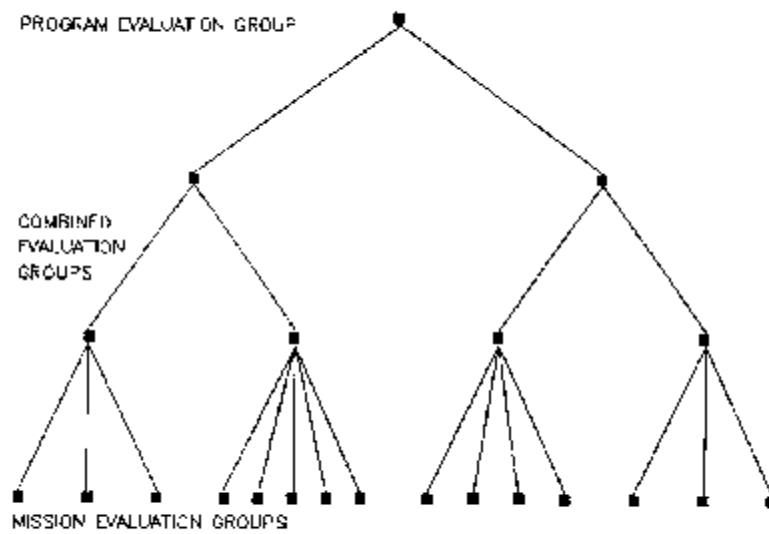
MISSION EVALUATION GROUPS

sponsor (e.g., C4I2 is the functional Sponsor for ADP and the CG MCCDC is the functional sponsor for all FMF initiatives) establishes boards of personnel, called Program Evaluation Groups (PEG's), perform an initial evaluation of subsets of projects. For example, materiel acquisition projects for the FMF can be subdivided by mission area. The PEG's establishing the initial orders of relative benefit generally restrict initiatives to a single "mission area" (e.g., Ground Combat) and might be convened, for example, at the branch level within the Warfighting Center at MCCDC.

    (1) A necessary prerequisite for the PEG's and the items they consider is that the members, perhaps five to nine people, have detailed knowledge of every item under consideration.

    (2) The members should have a keen sense of professionalism, detailed familiarity with the items under consideration, and a well-developed knowledge of the needs and priorities of the Marine Corps.

  c. After briefings and orientations, the PEG will consider the relative benefit of the items. The formal criteria used to structure the evaluation are optional, but certain general benefit standards have been used successfully.

    (1) Degree of mission contribution.

    (2) Warfighting effectiveness.

    (3) Breadth of application.

    (4) Clarity and maturity of requirements and operational concepts.

    (5) Cost not considered.

    (6) Well-defined program.

    (7) Ability to be executable on a predicted schedule.

    (8) "Not Directed" - the group's judgment must be uninfluenced by perceived perceptions at higher levels.

    (9) Degree of technical risk

    (10) Timeliness, and comparison of a program that will execute early versus the benefit of a better program that executes later.

  d. Members of the PEG, with facilitation provided by DC/S R&P, develop a list of the items under consideration ordered by

merit. Relative values are then established by a process of comparison. These relative judgments are depicted by objective numbers, often called "benefit numbers," assigned to each item through a detailed, comparative process. The detailed rationale regarding each item's position on the list is captured for later discussion of the merits of the items under consideration, and precise communication to all concerned of the professional judgment and reasoning that lie behind the recommended order of merit. The detailed rationale behind the relative values of the items should be briefed to the PEG's approving authority before the list is approved.

          (1) The procedure most often used is to ask each member of the group to individually list the items in order of merit. Each member's recommended order, and the reasons, are then briefed to the other members as a vehicle to start discussion.

          (2) As the discussion of the items progresses, an independent discussion leader will gradually guide the group to points of agreement, and develop one list. This ordered list of items is used to establish the relative weighted benefits.

          (3) Members are then asked to consider each item on the list, usually commencing at the top, with other items and establish a benefit number for each item that represents the item's relative value compared to the list's other items. Because it is difficult to think of the value of any one item in the abstract, a system of ordered comparisons is used. Members are asked, for example, to consider if the Marine Corps would be better served by item A or a combination of other items. When a relative equilibrium is reached, (e.g., A = B + C + D), then a relationship is recorded. The relationship is further refined by asking the same questions about, for example, item B. When a relationship is reached, (e.g., B = C + D, or B > C + D), then tentative "benefit numbers" are assigned that represent these relationships. For example, if A = B + C + D, and B = C + D, then perhaps A = 100, B = 50, C = 35, and D = 15. From this notional list, A is worth twice as much to the Marine Corps, in terms of capability, than B; B is worth as much as C and D combined, etc. The closest analogy for these comparisons is a balance beam. See Figure 8-2.

          (4) This comparative process continues throughout the entire list, with frequent comparisons of items from different parts of the list (low to high, etc.) to test for consistency of logic. The rationale behind all the decisions is captured for use later in the process.

          (5) The result is a list of items ordered by their relative benefit values, or relative order of merit, to the Marine Corps. See Figure 8-3. These results are then briefed to the appropriate supervisor, with detailed explanations of
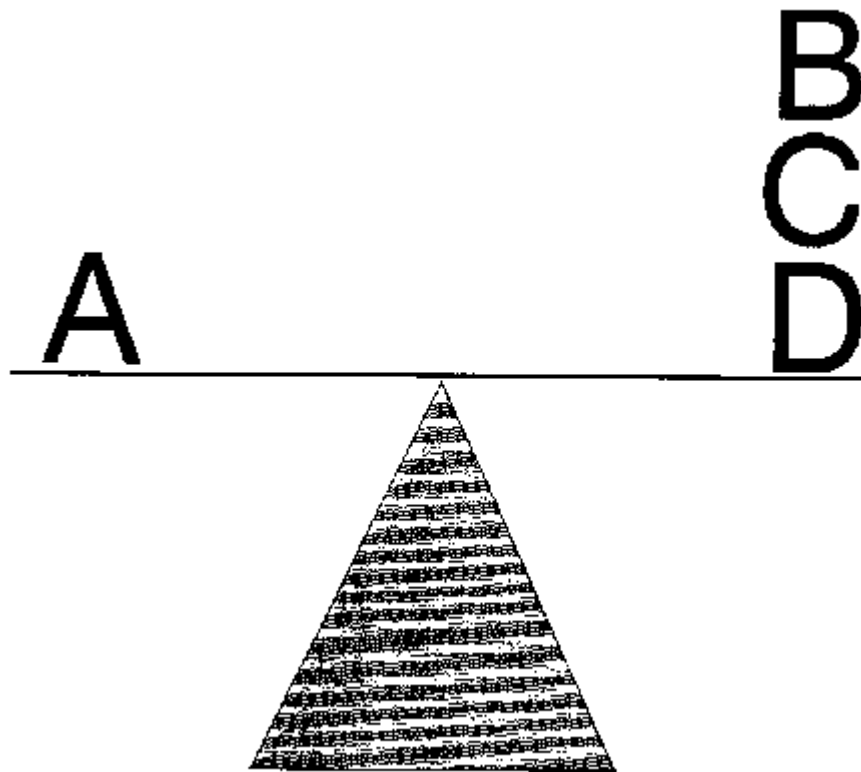
Establishing the Relative
Weighted Benefit of Items.

NOTIONAL LIST OF ITEMS

BY RELATIVE BENEFIT TO THE MARINE CORPS

Item	Benefit
A	100
B	50
C	35
D	15
E	13
F	11
G	10
H	8
I	6
J	1

Process: Items Listed by Their
Relative Benefit Value.

the logic and rationale behind each decision. At this point,
if significant dissenting arguments still exist within the group
over any recommendations, these are briefed to the appropriate
decision maker for resolution.

     e. The process above occurs within as many PEG's
evaluating as many subsets (capability areas) of initiatives as
desired. If necessary, as happens often when considering many
diverse initiatives (such as FMF materiel acquisition
initiatives), the results of these different mission area
evaluations must then be merged. Because it is impractical for
any group of officers to completely understand many initiatives
and requests, a sampling technique is used.

          (1) Program Evaluation Groups at the next higher level
(e.g., the Warfighting Center at MCCDC) will then be formed
with the assigned purpose of considering representative
initiatives or requests from the lists under consideration
forwarded by the initial PEG's. The personnel chosen must have
the same well-developed sense of professionalism and knowledge
as the PEG's mentioned above. If possible, this PEG should
have a range of experience greater than the initial Program
Evaluation Groups. Because it is impractical for these members
to possess detailed knowledge of all the items considered
initially, they are briefed in detail on selected items drawn
from the high, middle, and low parts of the lists forwarded for
consideration. Again, refer to Figure 8-1.

          (2) This PEG then follows the same comparative process
outlined above for the initial evaluation groups. The relative
benefits determined for the representative items under
consideration are then compared and a list of the
representative items, by order of merit, is produced. Again,
the detailed logic and rationale behind all recommendations is
recorded. Significant dissenting opinions are also captured
for later resolution by appropriate decision makers. After
determination of the relative values of the representative
items, and their ordering by merit, the entire lists forwarded
by the initial PEG's are combined, with the relative merit of
the representative items guiding the placement of those items
not explicitly considered.

          (3) After the lists are combined or merged, the group
then examines the entire list for logic and rational
consistency. If, in the judgment of any member, the placement
of any items not briefed or considered appear open to
challenge, detailed rationale is captured and the matter is
referred to the appropriate decision maker for resolution when
the entire list is forwarded for approval.

f. Like items are merged with like items in the manner detailed above as much as possible. Specifically, the following responsibilities are assigned:

(1) MCCDC evaluates, separately, all FMF materiel acquisition initiatives, FMF structure initiatives, FMF manning initiatives, and all Navy POM issues (both "blue" and "blue-in-support-of-green" POM issues) with MAGTF impact. (Navy POM issues may comprise several separate lists as appropriate.) MCCDC further evaluates all Research, Development, Test, and Evaluation (RDT&E) initiatives developed by MCRDAC. MCCDC is also responsible for all training and education non-FMF initiative prioritization.

(2) The DC/S I&L separately prioritizes all Military Construction (MCON), FHMA, Navy Stock Fund, Marine Corps Division (NSF-MCD) and Operation and Maintenance, Marine Corps (O&MMC) initiatives.

g. The DC/S R&P then forms a final Program Evaluation Group (Marine Corps PEG) to merge the various materiel acquisition initiatives, both FMF and non-FMF, into a single list following the principles and techniques outlined above. The PEG is the first forum where FMF and non-FMF program priorities of like type are merged.

4. When this PEG is complete, and the results approved, the developing program as a whole consists of core level programs, and discrete, but dissimilar, components competing for above-core funding that must be merged into a cohesive whole. These components are: lists of prioritized Navy, or "blue", POM issues; materiel acquisition initiatives; RDT&E initiatives; Military Personnel Marine Corps (MPMC) initiatives; Reserve Personnel Marine Corps (RPMC) initiatives; Operation and Maintenance, Marine Corps (O&MMC) initiatives; O&MMCR initiatives; FHMA initiatives; MCON initiatives; MCNR initiatives; and NSF-MCD initiatives. There may also be sub-appropriation components established for visibility; e.g., Stinger Missile core and initiatives, Marine Battle Skills Training core and initiatives, etc. During final program development all of these dissimilar components must be merged into one solid program that best meets the needs of the entire Marine Corps within available resources.

8003. COST-EFFECTIVENESS ANALYSIS AND FINAL PROGRAM
        DEVELOPMENT

1. The developing Marine Corps program, as described above, next passes to the POM Working Group (PWG). This committee, with membership from all cognizant staff agencies and commands, is described in previous chapters.

2. As the developing program passes to the PWG, the Commandant's guidance is explicitly sought to determine his specific desires. For example, certain major structure and acquisition initiatives, certain training initiatives, and certain "blue" and "blue-in-support-of-green" POM issues may have such overwhelming impact on the shape of the Corps that these major program decisions must be made first and the rest of the program shaped to conform to these decisions.

3. The PWG performs a detailed analysis of the entire program versus the available resources. The purpose of the analysis is to produce the first recommended total program for consideration by the collective Marine Corps leadership. As with all other stages of program development, the logic and rationale behind the PWG's recommendations are captured for later explanation of the intellectual and analytical foundation behind the recommended program. Subsequent decision forums and principal decision makers can then examine the rationale when considering the PWG's recommended program.

    a. During the first stage of the PWG's examination of the program, the PWG evaluates the various "green-dollar" program submissions, in the separate categories listed above, with the established benefit values, versus their cost.

    b. Navy POM issue cost-effectiveness analysis is performed separately by the cognizant staff agency.

        (1) The DC/S Avn is responsible for ensuring that Navy programming issues which affect Marine aviation requirements are fully considered as the Naval Aviation Sponsor Program Proposal is developed.

        (2) Similarly, the DC/S PP&O is responsible for those matters which pertain to Marine Corps amphibious warfare requirements.

        (3) MCRDAC is responsible for all Marine Corps matters within the research and development and acquisition area and for O&MMC funding related to procurement.

        (4) Other Headquarters agencies execute responsibilities within counterpart Navy programming forums as assigned. These "blue" and "blue-in-support-of-green" programming issues are not explicitly considered by the PWG. The Program Review Group (PRG) is specifically charged with examination and coordination of the "green dollar" program and the emerging "blue" and "blue-in-support-of-green" program.

    c. Within the appropriations that are the Marine Corps unilateral programming responsibility, an objective indication of the benefit/cost ratios, or "bang for the buck," is

developed for all initiatives and program requests. This is a cost-effectiveness analysis, designed to illustrate, and force, explicit consideration and recommendation of various programming issues by the PWG and documentation of the logic and rationale used to form subsequent program recommendations. Cost-effectiveness analysis forces:

(1) Identification and explicit consideration of small programs with relatively high payoff that may otherwise have been overlooked in favor of large, well known programs.

(2) Comparison of large programs with groups of small programs. A collection of four or five small programs may collectively have a greater benefit to the Marine Corps for the potential resource investment than the large program.

(3) Identification of large, important programs that have been "padded" or "gold-plated" with unimportant but expensive components that have relatively low payoff.

(4) Identification of moderately important programs that fail to include expensive, but essential, components.

(5) Evaluation of interdependent initiatives. For example, if one radio proposed for purchase cannot be used without purchase of another radio, then the total benefit of the two radios must be compared to the total cost of both radios. Similarly, certain MCON projects must be considered in tandem with acquisition of major end items.

(6) Development of alternative strategies to permit rapid accommodation of changing fiscal guidance. A cost-effectiveness, or "band for the buck" index permits logical choices for program cuts or adds that fit the changing resource amount.

(7) Consideration of predicted Research and Development (R&D) costs versus expected item benefit.

(8) Assessment of the balance between consumption, favoring readiness, and investment, favoring modernization and infrastructure, with consideration of the risks attendant to movement in either direction.

(9) Identification of the point of optimum return for investment of resources, both for particular initiatives and program requests, and for the program as a whole.

d. Proceeding from the cost-effectiveness analysis, the PWG molds the program considering all aspects within their professional knowledge. These include, but are not limited to:

        (1) Commandant's guidance, and the articulated
priorities in the MMP, the SEMP, and other plans.

        (2) Coordination with Navy programming realities.

        (3) Joint programs directed by the DPG.

        (4) Balance between consumption and investment.

        (5) CINCs' items of interest as identified on their IPLs.

        (6) Future resource predictions.

        (7) Program execution.

        (8) Creation of complementary, but not redundant,
capabilities among the four elements of the MAGTF.

4. The recommended program of the PWG passes to the PRG, a
higher level committee detailed in previous chapters. The PRG
considers the PWG's recommended program, and directs such
changes as desired. The PRG is specifically charged to examine
the PWG's recommended "green" program versus the developing
"blue" and "blue-in-support-of-green" program issues and direct
any appropriate changes to ensure a well coordinated program.

5. The PRG's recommended program passes to the Commandant's
Committee, for final resolution of issues before submission to
the Commandant for decision. The final program approved by the
Commandant includes not just the Marine Corps-unique submission
to the DON POM (the "green dollar" POM), but also a carefully
considered and coordinated plan for Navy POM (the "blue"
and "blue-in-support-of-green" POM) development.

6. Subsequent to the Commandant's approval, the program must
be continually modified as events dictate. For example, as
certain aviation-related capabilities are approved within Navy
program development, related complementary issues within the
green appropriations must be rapidly adjusted. Certain
redundancies must be eliminated to maintain an economic
program, and complementary support must be provided.

8004. <u>SUMMARY</u>. Relative benefit order development and final
program development are very dynamic processes, with
complications driven by timing, external forces, politics, and
other factors. Although many analytical techniques and
computer models are used, the entire decision making process is
firmly rooted on the professional judgment of all involved.
These procedures are designed to reduce a complex, unstructured
situation into its essential elements, organizing those
elements into a logical and consistent format, and
communicating the results effectively. Our procedures support
open, organized decision making with full integration of

professional military judgment with the best aspects of
analysis. Time-sensitive instructions and details are published
through POM serials as the program develops. Detailed
instructions are also available from DC/S R&P as requested, and
in the Programming Handbook.

MARINE CORPS PLANNING AND PROGRAMMING MANUAL

CHAPTER 9

OUT-OF-CYCLE PROGRAMMING

CHAPTER 9

OUT-OF-CYCLE PROGRAMMING

9000. <u>GENERAL</u>

1. <u>Definition</u>. An out-of-cycle initiative is any request for
resources that requires a decision prior to the next POM
publication. All resource requests, (fiscal, force structure,
materiel, or manpower), based on significantly changed
requirements or opportunities, must compete for previously
committed resources through the process.

2. <u>Policy</u>

    a. Out-of-cycle initiatives are requests for resources
already committed in the most recent Marine Corps Program.
These requests must be evaluated against our current program
and will be approved only when sufficient currently-programmed
resources can be redirected. This requires that out-of-cycle
initiatives have a higher priority than some initiatives
currently programmed, and that some portion of the current
program be cut to accommodate approved out-of-cycle
initiatives.

    b. Out-of-cycle initiatives that are essentially
restatements of previous unprogrammed POM initiatives must be
based on significantly changed circumstances to gain
approval.

    c. Barring extraordinary, compelling circumstances,
out-of-cycle initiatives require completed Required Operational
Capability (ROC) documentation.

3. <u>Information</u>

    a. Submission format is essentially the same automated
format as the POM initiative format, with certain alterations
according to the timing of the individual initiative. Formats,
diskettes, instruction, and assistance are available from DC/S
R&P.

    b. While FMF initiatives will be submitted by MCCDC, any
command or Headquarters staff agency may propose FMF
initiatives to MCCDC for consideration.

    c. Any command or Headquarters staff agency may propose a
non-FMF initiative to the appropriate command or agency for
consideration and submission.

9001. <u>OUT-OF-CYCLE INITIATIVE RESPONSIBILITIES</u>

1. Commanding General MCCDC

    a. Submit out-of-cycle initiatives as appropriate.

    b. Identify the initiative's effect on training overhead, to include:

        (1) The individuals' line (Patients, Prisoners, Trainees and Transients (P2T2)).

        (2) Noninitial entry training (training less than 20 weeks).

        (3) Potential training support required, to include training devices and course materiel.

    c. Recommend planned allowances on FMF initiatives.

    d. Staff completed initiatives to HQMC staff agencies and the CG MCRDAC concurrently.

    e. Recommend approval or disapproval on Non-FMF initiatives as appropriate.

2. <u>Commanding General MCRDAC</u>

    a. Evaluate and recommend funding profiles.

    b. Determine and coordinate the scheduled maintenance impact of out-of-cycle initiatives.

    c. Submit initiatives to the CG MCCDC.

    d. Recommend approval or disapproval on all out-of-cycle initiatives as appropriate.

    e. Assess integrated logistic support aspects.

3. DC/S I&L

    a. Recommend planned allowances for Non-FMF initiatives as appropriate.

    b. Identify equipment readiness impacts.

    c. Recommend approval or disapproval on all out-of cycle initiatives as appropriate.

4. DC/S Manpower and Reserve Affairs

a. Assess the structure and manning impact of the initiative, including appropriate aspects of the Individual's Line (P2T2).

b. Recommend approval or disapproval on all out-of-cycle initiatives as appropriate.

5. DC/S Requirements and Programs

a. Provide formats and assistance for initiative preparation as requested.

b. Coordinate Headquarters staffing of out-of-cycle initiatives.

c. Review documentation for compliance.

d. Comment on proposed compensatory reductions for out-of-cycle initiatives as appropriate.

e. Review current program impact of proposed out-of-cycle initiatives.

f. Determine troop list impact.

g. Forward initiatives that gain complete approval to the ACMC for decision.

h. For those initiatives lacking complete approval, or lacking identified compensatory reductions, make appropriate comments and recommendations, to include recommendation of reprogrammed resources to support the initiative.

6. Fiscal Director of the Marine Corps

a. Review and analyze cost data.

b. Assess budget impact.

c. Recommend approval or disapproval on all out-of-cycle initiatives as appropriate.

7. All HQMC Staff Agencies

a. Prepare Non-FMF out-of-cycle initiatives for submission as desired using the format provided by DC/S R&P.

(1) Evaluate proposed Non-FMF out-of-cycle initiatives against programmed Non-FMF resources.

(2) Identify specific, currently-programmed non-FMF resources within the initiative sponsor's authority that must be

modified or terminated to redirect resources for support of the out-of-cycle initiative.

      (3) For those initiatives that affect structure or manning, identify compensatory reductions or savings distribution within the Non-FMF as appropriate.

      (4) Identify the initiative's effect on training overhead, to include:

        (a) The training impact on the Individual's Line (P2T2).

        (b) Noninitial entry training (training less than 20 weeks).

        (c) Potential training support required, to include training devices and course material.

      (5) Staff completed initiatives to HQMC staff agencies, CG MCCDC, and CG MCRDAC, concurrently.

  b. Recommend approval or disapproval on all out-of-cycle initiatives as appropriate.

APPENDIX A

GLOSSARY OF ACRONYMS

AAA	Advanced Amphibious Assault
AAW	Anti-Air Warfare
AAWS-M	Advanced Anti-Tank Weapon System - Medium
ABS	Amended Budget Submission
ACAT	Acquisition Category
ACE	Aviation Combat Element
ACM	Advanced Cruise Missile
ACMC	Assistant Commandant of the Marine Corps
ACNO	Assistant Chief of Naval Operations
ADM	Acquisition Decision Memorandum
ADP	Automated Data Processing
AMW	Amphibious Warfare
AO	Acquisition Objective
APN	Aircraft Procurement, Navy
APPN	Appropriation
AR	Administration and Resource Management
ASN (RD&A)	Assistant Secretary of the Navy for Research, Development, and Acquisitions
ASR	Authorized Strength Report
ASUW	Anti-Surface Warfare
ASW	Anti-Submarine Warfare
AVN	Aviation
BA	Budget Activity
BAM	Baseline Assessment Memorandum
BDS	Budget Development System
BES	Budget Estimate Submission
BLUE $	Navy Appropriations (CNO Sponsored)
BUMED	Bureau of Medicine and Surgery
BY	Budget Year
C2	Command and Control
C3CM	Command, Control and Communications Countermeasures
C31	Command, Control, Communications and Intelligence
C4	Command, Control, Communications and Computer Systems
C4I2	Command, Control, Communications and Computer, Intelligence and Interoperability
CAAS	Contract Advisory Assistance Service
CAM	Crisis Action Modules
CBO	Congressional Budget Office
CBRS	Concept-Based Requirements System
CCP	Consolidated Cryptologic Program
CDM	CNO Decision Meeting
CDPA	Central Design and Program Activities
CEB	Chief of Naval Operations' Executive Board
CFE	Contractor Furnished Equipment
CG	Chairman's Guidance

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CIB           CNO Information Brief
CINC          Commander-in-Chief
CJCS          Chairman, Joint Chiefs of Staff
CMC           Commandant of the Marine Corps
CNA           Center for Naval Analyses
CNET          Chief of Naval Education and Training
CNO           Chief of Naval Operations
CPA           Chairman's Program Assessment
CPAM          Chief of Naval Operations' Program Analysis
CPG           Contingency Planning Guidance
CPFG          Chief of Naval Operations' Planning & Fiscal
              Guidance
CSPAR         CINC's Preparedness Assessment Report
CSS           Combat Service Support
CY            Calendar Year or Current Year

D&V           Demonstration and Validation
DAB           Defense Acquisition Board
DAE           Defense Acquisition Executive
USD (ACQ)     Under Secretary of Defense for Acquisition
DARPA         Defense Advanced Research Project Agency
DCA           Defense Communications Agency
DCAA          Defense Contract Audit Agency
DCAS          Defense Contract Administration Services
DCI           Director, Central Intelligence
DCNO          Deputy Chief of Naval Operations
DCP           Decision Coordinating Paper
DepOpsDep     Deputy Operations Deputy
DIA           Defense Intelligence Agency
DIRNSA        Director, National Security Agency
DMA           Defense Mapping Agency
DMC           Defense Management Category
DMR           Defense Management Review
DNCPPG        Department of the Navy Consolidated Planning and
              Programming Guidance
DoD           Department of Defense
DON           Department of the Navy
DONPIC        Department of the Navy Program Information Center
DOP           Development Options Paper
DPG           Defense Planning Guidance
DPP           Defense Program Projection
DPPC          Defense Planning and Programming Category
DPRB          Defense Planning Resources Board
DPSB          Department of the Navy Program Strategy Board
DRPM          Direct Reporting Program Manager
DRSP          Defense Reconnaissance Support Program
DT&E          Developmental Test and Evaluation

EAF           Equipment Allowance File
ECCM          Electronic Counter Countermeasures
ECM           Electronic Countermeasures
ECP           Engineering Change Proposal
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EW   Electronic Warfare

FAR   Federal Acquisition Regulation
FDMC   Fiscal Director of the Marine Corps
FHMA   Family Housing Management Account
FMF   Fleet Marine Force
FMFEUR   FMF Europe
FMFLANT   Fleet Marine Force Atlantic
FMFPAC   Fleet Marine Force Pacific
FOC   Full Operational Capability
FOT&E   Follow-on Test and Evaluation
FRP   Full Rate Production
FSD   Full Scale Development
FYDP   Future Years Defense Program

GAO   General Accounting Office
GAR   Grade Adjustment Recapitulation
GCE   Ground Combat Element
GDIP   General Defense Intelligence Program
GFE   Government Furnished Equipment
GFOAR   Global Family of Oplans Assessment Report
GPS   Global Positioning System
Green $ USMC Appropriations (CMC Sponsored)

HAC   House Appropriations Committee
HASC   House Armed Services Committee
HQMC   Headquarters, Marine Corps

I&L   Installation and Logistics
IB   Issue Book
IBOP   International Balance of Payment
IDF   Item Data File
IDS   Initiative Development System
IESA   Illustrative Evaluation Scenarios
ILS   Integrated Logistics Support
ILSP   Integrated Logistics Support Plan
INCA   Intelligence Communications Architecture
IO   Inventory Objective
IOC   Initial Operational Capability
IOT&E   Initial Operational Test and Evaluation
IPL   Integrated Priority List
IPR   In Process Review
IPS   Illustrative Planning Scenario
IR&D   Independent Research and Development
ISOR   Initial Statement of Requirement

JCS   Joint Chiefs of Staff
JMNA   Joint Military Net Assessment
JOPES   Joint Operations & Planning Execution System
JROC   Joint Requirements Oversight Committee
JSCP   Joint Strategic Capabilities Plan
JSOR   Joint Statement of Requirement
JSP   Joint Service Program
JSPS   Joint Strategic Planning System

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JSR            Joint Strategy Review
JSTARS         Joint Service Target Attack Radar System
JTIDS          Joint Tactical Information Distribution
               System

LAP            Letter of Adoption and Procurement
LCC            Life Cycle Cost
LFT&E          Live-fire Test and Evaluation
LMIS           Logistics Management Information System
LOA            Letters of Allowance
LRIP           Low Rate Initial Production

M&RA           Manpower and Reserve Affairs
MAA            Mission Area Analysis
MAGTF          Marine Air-Ground Task Force
MBI            Major Budget Issue
MCARMS         Marine Corps Ammunition Requirements Management
               System
MCCDC          Marine Corps Combat Development Command
MCCP           Marine Corps Campaign Plan
MCIF           Marine Corps Industrial Fund
MCLB           Marine Corps Logistics Base
MCNR           Military Construction, Naval Reserve
MCO            Marine Corps Order
MCOAG          Marine Corps Operations Analysis Group
MCON           Military Construction, Navy
MCOTEA         Marine Corps Operational Test and Evaluation
MCPDM          Marine Corps Program Decision Meeting
MCPRU          Marine Corps Program Review Update
MCRDAC         Marine Corps Research, Development, and
               Acquisition Command
MCTSSA         Marine Corps Tactical Systems Support Activity
MDAP           Major Defense Acquisition Program
MILSTAR        Military Strategic & Tactical Relay System
MLRP           Marine Corps Long Range Plan
MMP            MAGTF Master Plan
MMPM           Material Management Programming Model
MND            Mission Need Determination
MNS            Mission Need Statement
MOB            Mobilization
MOP            Memorandum of Policy (Chairman, JCS)
MOS            Military Occupational Speciality
MOU            Memorandum of Understanding
MPF            Maritime Prepositioned Force
MPLAN          Marine Corps Mobilization Management Plan
MPMC           Military Personnel, Marine Corps
MPN            Military Personnel, Navy
MPS            Maritime Prepositioning Ships
MSC            Military Sealift Command
MYP            Multi-Year Procurement

NAE            Navy Acquisition Executive
NavCompt       Comptroller of the Navy
NAVFAC         Naval Facilities Engineering Command
NCA            National Command Authorities
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NCB   Director of Budget and Reports, NavCompt
NFIP   National Foreign Intelligence Program
NHBS   Navy Headquarters Budgeting System
NHIS   Navy Headquarters Information System
NHPS   Navy Headquarters Programming System
NMP   Navy Managed Program
NMSD   National Military Strategy Document
NPDM   Navy Program Decision Meeting
NSA   National Security Agency
NSC   National Security Council
NSF-MCD   Navy Stock Fund, Marine Corps Division
NSF   Navy Stock Fund

O&MMC   Operation and Maintenance, Marine Corps
O&MMCR   Operation and Maintenance, Marine Corps Reserve
O&MN   Operation and Maintenance, Navy
O&MNR   Operation and Maintenance, Navy Reserve
OMB   Office of Management and Budget
OPA   Office of Program Appraisal
OPN   Other Procurement, Navy
OPNAV   Office of Chief of Naval Operations
OpBuds   Operating Budgets
OpsDep   Operations Deputy
OSD   Office of the Secretary of Defense
OSIA   On Site Inspection Agency
OSP   Other Service Program
OT&E   Operational Test and Evaluation
OTH   Over the Horizon

P/BIER   Program/Budget Implementation and Execution Review
P2T2   Patients, Prisoners, Trainees and Transients
PA&E   Program Analysis and Evaluation
PAM   Program Assumptions Memorandum
PBD   Program Budget Decision
PCG   Program Coordination Group
PCR   Program Change Request
PDM   Program Decision Memorandum
PDRC   Program Development Review Committee
PE   Program Element
PEG   Program Evaluation Group
PEN   Program Element Number
PEO   Program Executive Officer
PMC   Procurement, Marine Corps
PM   Program Manager
PMP   Program Management Proposal
POM   Program Objective Memorandum
POMCUS   Prepositioned Material Configuration Unit
PP&O   Plans, Policies and Operations
PPBS   Planning, Programming, and Budgeting System
PPC   Proposed Program Change
PPI   POM Preparation Instructions
PRESBUD   Presidential Budget Submission
PRG   Program Review Group
PWG   POM Working Group

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PWR            Prepositioned War Reserve

R&D            Research and Development
R&P            Requirements and Programs
RAD            Resource Allocation Display
RCC            Resource Control Code
RDT&E          Research, Development, Test & Evaluation
RDT&E,N        Research, Development, Test & Evaluation, Navy
RFP            Request for Proposal
ROC            Required Operational Capability
ROM            Rough Order of Magnitude
RPMC           Reserve Personnel, Marine Corps
RPN            Reserve Personnel, Navy
RS             Resource Sponsor

SAC            Senate Appropriations Committee
SAE            Service Acquisition Executive
SAR            Selected Acquisition Report
SASC           Senate Armed Services Committee
SCN            Shipbuilding and Conversion, Navy
SCP            Sponsor Change Proposal
SCP            System Concept Paper
SDIO           Strategic Defense Initiative Organization
SecDef         Secretary of Defense
SecNav         Secretary of the Navy
SEC            Space and Electronic Combat
SECNAVINST     Secretary of the Navy Instruction
SEMP           Supporting Establishment Master Plan
SEW            Space and Electronic Warfare
SGS            Secretary of the General Staff
SIOP           Single Integrated Operational Plan
SLEP           Service Life Extension Program
SPP            Sponsor Program Proposal
SPPD           Sponsor Program Proposal Document
STAR           System Threat Assessment Report
SVLCCM         Summary Version, Life Cycle Cost Model
SWA            Summary Warfare Appraisal
SYSCOM         Systems Command

T/E            Table of Equipment
T/O            Table of Organization
T&E            Test and Evaluation
TARMS          Training Ammo Requirement Management System
TCP            Tactical Cryptologic Program
TIAP           Theater Intelligence Architecture Plan
TIARA          Tactical Intelligence and Related Activities
TMR            Table of Manpower Requirements
TOA            Total Obligational Authority
TOR/OR         Tentative Operational Requirement/Operational
               Requirement

UCP            Unified Command Plan
USCINCCENT     Commander in Chief, U.S. Central Command
USCINCEUR      Commander in Chief, U.S. European Command
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USCINCFORS   Commander in Chief, U.S. Forces Command
USCINCLANT   Commander in Chief, U.S. Atlantic Command
USCINCPAC   Commander in Chief, U.S. Pacific Command
USCINCSAC   Commander in Chief, U.S. Strategic Air Command
USCINCSO   Commander in Chief, U.S. Southern Command
USCINCSOC   Commander in Chief, U.S. Special Operations
               Command
USCINCSPACE   Command in Chief, U.S. Space Command
USCINCTRANS   Commander in Chief, U.S. Transportation Command
WIN   WWMCCS Information Network
WMR   War Material Requirement
WPN   Weapons Procurement, Navy
WRM   War Reserve Material
WWMCCS   Worldwide Military Command and Control System

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APPENDIX B

APPLICABLE DIRECTIVES

The purpose of this appendix is to provide a listing and brief resume of the contents of other directive pertinent to Marine Corps participation in the PPBS.

a. DoD Inst 7045.7, Subj: The Planning, Programming, and Budgeting System.

Explains the DoD PPBS. Establishes requirements for POM's, JPAM, and JSPD. Allows for comments on guidance memoranda. Sets forth DP update requirements and submission requirements for budget estimates. Provides for out-of-cycle PCR's. Contains definitions and required forms. Authorizes the publication of DoD Inst 7944.7-H, Defense Program Structure Codes and Definitions Handbook.

b. MOP 7, Subj: Joint Strategic Planning System.

Establishes policies and procedures governing the operation of the JCS planning system and addresses its programming aspects.

c. MOP 136, Subj: Joint Program/Budget Procedures.

Provides guidance and procedures on tje joint aspects of processing program associated documents, and for addressal, as appropriate, by the JCS of the issues raised in these documents.

d. Department of the Navy Programming Manual, Subj: DON PPBS Procedures.

Serves as the standard reference document for operation of the DoD PPBS within the Department of the Navy.

e. SECNAVINST 5000.16E, Subj: Policy, Roles, and Responsibilities within the Department of the Navy for Implementation of the DoD PPBS.

Implements DoD Inst 7045.7 within the DON. Assigns responsibility for implementing the PPBS within the DON, developing program objectives, and responding to SecDef fiscal and logistic guidance.

f. MCO P5000.10C, Subj: System Acquisition Management
    Manual

    Outlines policy and management principles for the
    acquisition of material systems and equipments
    within the Marine Corps.

g. HQO P7100.1, Subj: Budget Manual, Headquaeters Marine
    Corps.

    Provides staff guidance concerning formulation,
    execution and review of the Marine Corps budget.
    Includes instructions to appropriation sponsors and
    defines common terms pertaining to the budget process.

h. HQO P5216.7, Subj: Standing Operating Procedure for
    Processing JCS Papers and Related Correspondence.

    Prescribes procedures and sets forth responsibility in
    the processing of Joint Staff papers. Explains JCS
    procedures, as well as those of HQMC. Contains
    definitions and abbreviations common to JCS planning.

i. CMC letter 3800 Ints/135R3 of 30 Jan 1989, Subj:
    Tactical Cryptologic Program (TCP) Responsibilities.

j. MCO 3900.4D, Subj: Marine Corps Program Initiation &
    Operational Requirement Documents.

k. Marine Corps POM Serials. Issued by DC/S R&P and
    routed by HQMC Route Sheet, the POM Serials provide
    amplifying guidance for specific phases of the POM
    process. They are serialized by POM year and sequence
    in which issued (Example: POM 94-1).

l. Navy POM Serials. Issued by DON (OP-80), they are a
    series of Memos to all offices within DON participating
    in the POM development process. DC/S R&P is the only
    Marine Corps reipient of Navy POM Serials. These serials
    contain detailed instructions concerning the Navy
    Programming phases.

m. The Defense Resource Allocation Process. Cdr William C.
    Keller, USN. Naval War College, Newport, RI. January
    1991.

APPENDIX C

NAVY PROGRAM OBJECTIVES MEMORANDUM (POM) PROCEDURES

INTRODUCTION

     The Program Objective Memoranda (POM's) of the various
Services and Defense Agencies are the product of the
programming stage. They are at the heart of the Planning,
Programming and Budgeting System (PPBS) process. Other
documents in the system provide guidance for program
development and record the results of review procedures, but
only the POM's contain the substantive data that ultimately
become an updated Defense Program (DP). Program development
procedures are unique to each Service. This reading is
concerned with how the Navy approaches the process. The Navy
develops its POM through a complex process that centers
around the offices of CNO but involves all elements of the
operating forces and shore establishment. It is a three phase
effort that begins in October and ends in April, a year and a
half later. This appendix first defines the roles and players
essential to the Navy POM development and then examines the
sequence of events that culminate in submission of the POM to
the Office of the Secretary of Defense (OSD). The appendix
concludes with a brief overview of the broader aspects of the
Defense-wide PPBS process as it relates to POM development.

POM ROLES AND PLAYERS

     There are five essential roles in POM development. They
are:

     (1) Resource sponsor
     (2) Assesseent sponsor
     (3) Appropriation sponsor
     (4) Claimant/CINC
     (5) Review and Approval agent

     Resource sponsors are OPNAV offices responsible to CNO for
all activities and resource allocations within their designated
areas of responsibility. (Resources are dollars and manpower
considered as a function of time.) For example, OP-02, the
Assistant Chief of Naval Operations (Undersea Warfare), is the
resource sponsor for submarine warfare. As such, he is
responsible for the construction, operation, overhaul and
manning of existing submarines. In addition, he is responsible
for the future operational requirements. Three of the
resource sponsors are primary platform sponsors--submarine,
surface and air. The others are support activity sponsors;
e.g., Logistics, Research and Development, and Manpower,
Personnel and Training. Figure C-1 is a table of OPNAv offices
currently assigned POM sponsor responsibilities and their areas
of cognizance. The first column of this figure identifies
resource sponsors.

POM Roles (POM 92)

Office/ Activity	Resource Sponsor	Assessment Sponsor	Appropriation Sponsor
OP-01	Family Hsng, Manpower, Personnel and Training (MPT)	Manpower, Personnel and Training (MPT)	MPN
OP-02	Submarine Warfare		
OP-03	Surface Warfare		WPN SCN
OP-04	Logistics (Including Sealift)	Logistics/ Ship Maint/ Modernization	Family Hsng MCON
OP-05	Air Warfare		APN
OP-06			
OP-006	Oceanography		
OP-09	Intelligence		
OP-093	Admin/DoD Support		
OP-093	Medical		
OP-094	Command and Control		
OP-07	Electronic Warfare	Naval Warfare	
OP-098	RDT&E/Acquisition	Research, Development and Acquisition	RDT&E
OP-82			O&MN OPN
OP-095		Naval	MCNR RPN O&MNR
OP-09N		Physical Security	

Figure C-1.--OPNAV Offices Currently Assigned POM Sponsor Responsibilities and Their Areas of Cognizance.

Assessment sponsors are OPNAV offices responsible for: (1) identifying long and short term programming actions necessary to maintain current fleet readiness and to ensure future force capabilities; and (2) assessing the degree to which these responsibilities are accomplished in the current POM. Assessment sponsor roles may be assigned to the same office that has resource sponsor responsibility in the related area, but this is not always the case. Column 3 of Figure C-1 identifies the assessment sponsor responsibilities currently assigned.

Appropriation sponsors are OPNAV offices responsible for ensuring that programs submitted are properly structured, priced, supported and balanced within fiscal controls. These sponsors restructure proposals, which are developed with a program orientation, to an appropriations format. (These sponsors are usually the ones called to represent, defend, and/or explain their portions of the budget on Capitol Hill.)

Claimants are those commands within the Department of the Navy (DON) that have primary responsibility for program execution and expend authorized resources in support of approved programs. They fall into two major categories; the systems commanders, who expend resources for acquisition and support, and the Navy Component Commanders of the Unified Commands, who expend resources in accomplishing assigned missions and tasks. In addition, there are a number of claimants not easily categorized. Among these are such activities as the Bureau of Naval Personnel (BuPers), the Bureau of Medicine (BuMed), and the Chief of Naval Education and training (CNET).

Reviewing and approving roles are performed at all levels of the DON as a continuing part of program development. More formally, these roles are accomplished by four high level review committees. The Program Development Review Committee (PDRC) is a two-star review board chaired by OP-80, Director, General Planning and Programming Division; the Program Review Committee (PRC) is a three-star review board chaired by OP-08, Director, Navy Programming and Planning; the CNO Executive Board (CEB) is composed of the DCNO's, the Vice Chief of Naval Operations, and chaired by CNO; and the DON Program Strategy Board (DPSB) is composed of the Assistant Secretaries, The CNO, OP-08, the Commandant of the Marine Corps and the DC/S R&P. The DPSB is chaired by the Secretary of the Navy and is the final DON review and approval agency. Figure C-2 displays the relationships among these committees.

PEOPLE IN THE PROCESS:
PROGRAM ANALYSIS AND REVIEW

☆☆☆
PRC
OP-08

☆☆
PDRC
CHAIR
OP-80

☆☆☆☆
CEB
CNO

ASN's   CNO
DPSB   SECNAV
ASN's   CMC
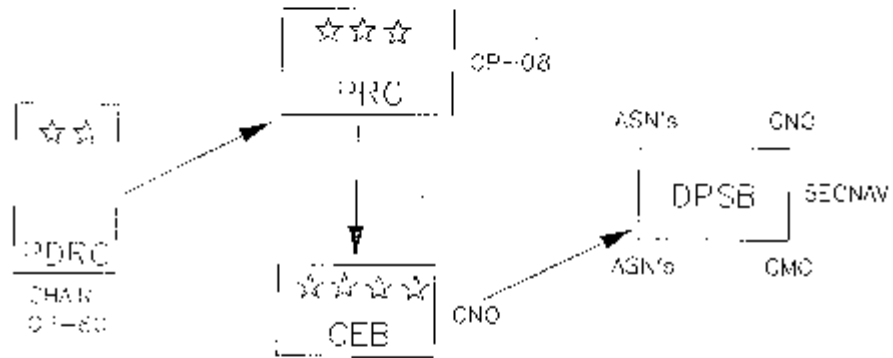
PDRC   Program Development Review Committee
PRC   Program Review Committee
CEB   CNO Executive Board
DPSB   Department of the Navy Program Strategy Board

Approving Committees.

C-4

THE POM CALENDAR

POM development is initiated biennially upon the submission of the October Defense Program (DP) from the preceding PPBS cycle. It continues until the POM is submitted to OSD 19 months later. The POM is developed in three phases. Phase I, Program Planning, begins in October and extends through the following November. Phase II, Programming, extends from November through March, and Phase III, Final POM Development, extends from March until the submission of the POM to OSD in mid-April.

POM's are submitted only in even numbered years; e.g., 1990, 1992. Therefore, even numbered years are often referred to as "POM years" and odd numbered years are called "off years." Figure C-3 illustrates the details of the Program Planning Phase and outlines the following Phases. Activities shown in the right-most column of the figure are those directly related to developing the current POM. Activities in the left-most column are those concerned with other aspects of the Defense-wide PPBS that have a major impact on current POM development. Activities in the center column are integral to both ongoing processes. Frequent cross reference to this figure will be useful in understanding the process as described in the following text.

The development schedule for a specific fiscal year is established in detail by a Navy POM serial written by OP-80 in early October of the off year. Additional POM serials are issued throughout the POM cycle and provide administrative guidance, fiscal constraints and other POM development information. The first memorandum is identified as POM Serial 88-1, 90-1, etc, according to the first fiscal year of the POM. (POM Serial 90-1 is dated 3 October 1986.) Typically 30-40 serials are issued in a complete POM development.

Phase I. Program Planning. The objective of Phase I is to analyze requirements, assess existing capabilities, and define the programs that meet requirements and redress any deficiencies. The programs must strike a balance between the stability necessary to maintain a coherent defense posture and the changes needed to meet an evolving threat and an advancing technology--and it must accomplish this within severe resource constraints.

Phase I begins formally when OP-80 issues the POM Development Procedures Memorandum in October. The first order of business is to review and update the Maritime Strategy as this provides the base upon which all Navy programs are built. The resource sponsor view of the Navy is the fundamental program planning building block; however, it is not sufficient to address the broad range of naval warfare responsibilities. All platforms and support activities must be coordinated to
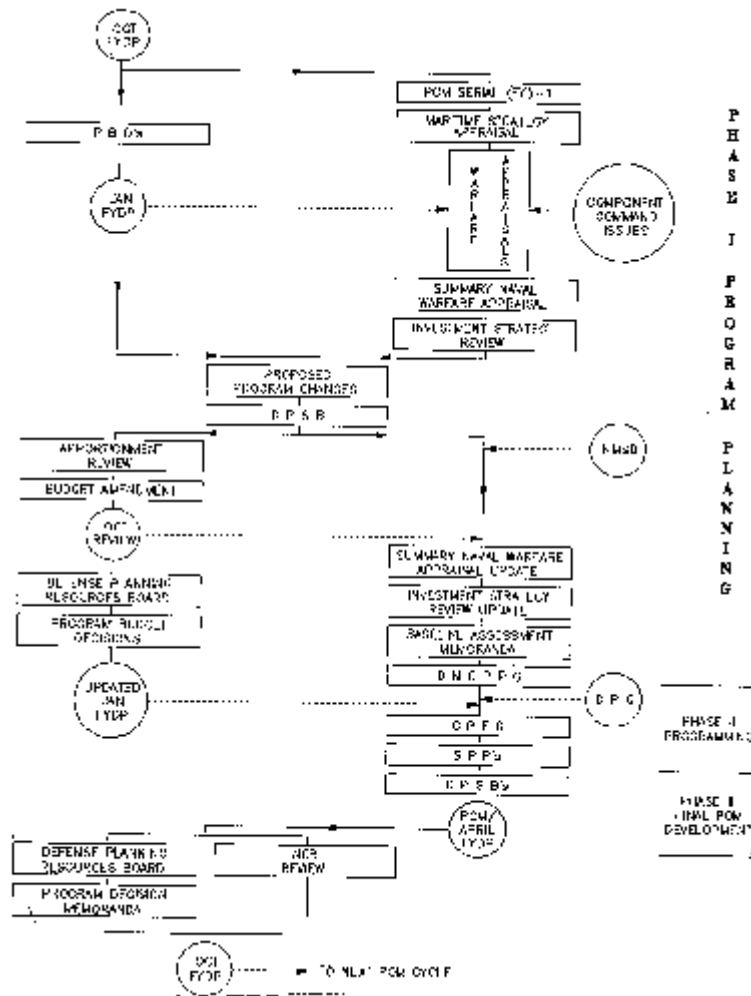
Activities.

ensure that assigned warfare tasks can be accomplished. In the Program Planning phase, this is accomplished by a seies of Naval Warfare Appraisals.

Appraisals cover such areas as Anti-Air Warfare, Antisubmarine Warfare, Amphibious/Mine Warfare, and Electronic Warfare. These provide assurance that essential war fighting requirements do not get lost in the platform oriented programs, that there is no unplanned redundancy in capabilities among the platforms and that the systems being developed in each of the sponsor areas are compatible and complementary with those being developed in others.

The major claimants and CINC's provide input into the program planning phase by identifying issues of concern in their areas of responsibility. When developing their respective programs, each resource and assessment sponsor must respond to the five most significant issues that each claimant and CINC identifies.

The Warfare Appraisals evaluate warfighting capability within fiscal constraints and in the context of the Maritime Strategy. The appraisal process culminates in a Summary Naval Warfare Appraisal in March. This summary reflects the inputs from the individual appraisals and makes adjustments that may be required as a result of the January FYDP. Concurrently, the Program Resource Appraisal Division (OP-81) provides an assessment of and guidelines for future capital investments and recommends adjustments to support the pillars based on OP-80 provided fiscal controls.

During the period from March through June, resource sponsors develop Proposed Program Changes (PPC's) and staff budgetary adjustments to the second year of the existing FYDP. Although subsidiary to the mainstream effort of developing the follow-on POM, the activities are an integral part of the overall PPBS process. The results of this internal review provide input to OSD Reviews in the summer/fall of the off-year.

Concurrently, the JCS issues the National Military Strategy Document (NMSD). The NMSD is a memorandum from the Chairman of the JCS to the Secretary of Defense. Its primary purpose is to assist OSD in developing the Defense Guidance; however, the Services use it to ensure that their internal POM development guidance is in consonance with the JCS position.

The decisions made as a result of the October Implementation Review, the guidance from the NMSD, and the resolution of claimant and CINC issues result in updated versions of the Summary Naval Warfare Appraisal and the Investment Strategy Review.

In late October, the DON Program Strategy Board meets to make final program planning decisions. These decisions consider all warfare and task appraisals, CINC and component commander inputs, and resource sponsor PPC's. The decisions are documented in the DON Consolidated Planning and Programming Guidance (DNCPPG) which is issued in early November. At the same time, assessment sponsors promulgate their Baseline Assessment Memoranda (BAM's). The assessment process is concerned with striking a balance between current readiness considerations and the need for future capabilities. This is particularly critical in the areas of manpower, ship maintenance and modernization, and logistic support, where long lead times are critical to continuing capability.

Throughout this process, programs are adjusted and issues resolved at the lowest cognizant level of responsibility. Appraisals and assessments are presented to the Program Development Review Committee and to the Program Review Committee. The Maritime Strategy and Summary Naval Warfare Appraisals are briefed to the CNO Executive Board. This body may also consider other items at its discretion or at the request of one or more sponsors.

The requirements to identify and track programs jointly funded with other services is an integral part of POM planning. Resource sponsors are responsible for identifying programs with cross service impact and must be prepared to coordinate with other services in regard to Navy funding of joint programs.

Phase II. Programming. The objective of Phase II is to convert the guidance provided by the DNCPPG and the BAM's into formal programs. Program development is constrained by the Defense Guidance, issued in December and fiscal guidance issued in February.

The necessary changes and adjustments are accomplished by the resource sponsors and are documented in Sponsor Program Proposal Documents (SPPD's). These updated sponsor proposals are presented to the PDRC/PRC in preparation for such final adjustments as may be required in Phase III.

The assessment sponsors review the adjusted proposals to determine the degree to which the revised proposals meet fiscal guidance and achieve the balance necessary to maintain an effective force. Figure C-4 depicts the activity of the Phase.

Phase III. Final POM Development. This phase is also known as "the end game." Its objective is to develop the POM that is submitted to OSD. The major activities are DPSB meetings to review and resolve remaining program issues and direct final updates to the POM. A complementary activity is

PHASE II - PROGRAMMING
NOVEMBER - MARCH
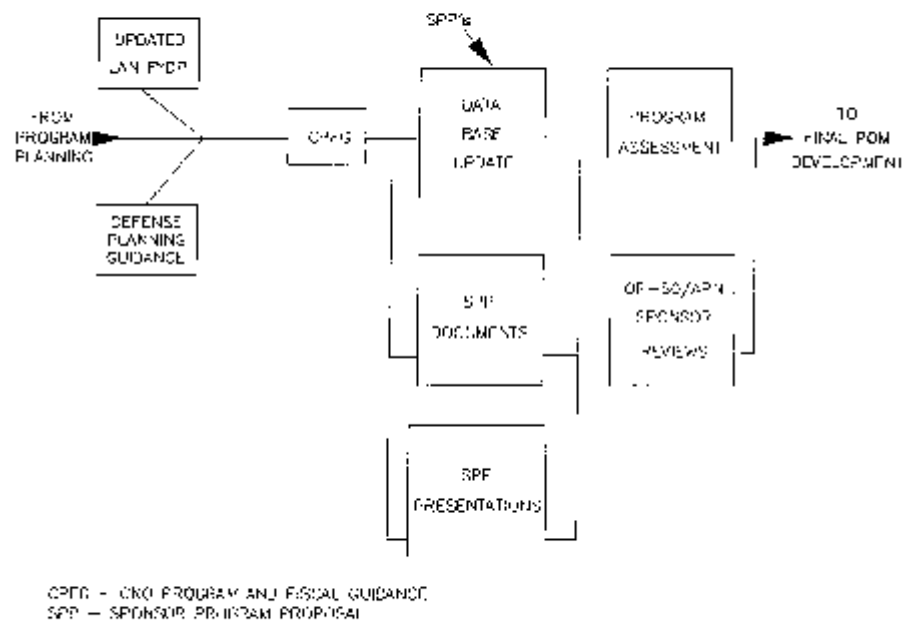
CPFG - CMC PROGRAM AND FISCAL GUIDANCE
SPP - SPONSOR PROGRAM PROPOSAL

restructuring of the programmatic formats into appropriation formats to ensure that the program to be proposed is feasible from budgetary, fiscal and production viewpoints. The output of this Phase is the Navy POM which, when combined with other Service and Defense Agency POM's, becomes the April DP. Figure C-5 shows the activities of this phase.

POM Review. Although the service POM development process ends in May, the defense-wide PPBS process continues. The POM is reviewed by the Defense Planning Resources Board (DPRB) in the summer of its submission. The results of this review are promulgated to the Services as Program Decision Memoranda (PDM's). The Service budget agencies respond with Budget Estimate Submissions which, when aggregated, become the October FYDP. Submission of this document to OMB triggers the next biennial POM cycle. The October DP is consolidated with other Executive Department submissions to become the President's Budget. Any changes required by the OMB review are documented as Program Budget Decisions (PBD's). The DoD portion of the President's Budget is the January FYDP. Follow-up actions to adjust the FYDP in the next year have been discussed in relation to the Program Planning Phase.

PHASE III - FINAL POM DEVELOPMENT
MARCH - APRIL

DPSB — DEPARTMENT OF THE NAVY PROGRAM STRATEGY BOARD

APPENDIX D

DEFENSE PLANNING AND PROGRAMMING CATEGORIES

The Defense Planning and Programming Categories (DPPC's) are used in manpower planning and programming. DPPC's are based on the same program elements as the 11 major defense programs; however, the elements are aggregated differently. For example, the major defense programs aggregates for all programs include not only the aircraft squadrons at the air stations but also support personnel which sustain these units. On the other hand, DPPC's aggregate activities performing similar functions; for example, all base support is aggregated together, no matter how resources are managed. The DPPC system is particularly well suited for explaining how manpower resources are used. The DPPC's are listed below.

Strategic - The DPPC's in the strategic category consist of those nuclear offensive, defensive and control surveillance forces which have as their fundamental objective deterrence and defense against nuclear attack upon the United States, our military forces, bases overseas, and our allies.

>   Offensive Strategic Forces
>   Defensive Strategic Forces
>   Strategic Control and Surveillance Forces

Tactical/Mobility - The DPPC's in the tactical/mobility category consist of land forces (Army and Marine Corps), tactical air forces (Air Force, Navy, and Marine Corps), naval forces (Navy), and mobility forces (Army, Air Force, and Navy).

>   Land Forces
>   Tactical Air Forces
>   Naval Forces
>   Mobility Forces

Auxiliary Activities - The DPPC's in the auxiliary activities category consist of those major defensive-wide activities conducted under centralized OSD control. Included are DPPC's in intelligence, centrally managed communications, research and development and geophysical activities.

>   Intelligence
>   Centrally Managed Communications
>   Research and Development
>   Geophysical Activities

Support Activities - The DPPC's in the support activities category consist of the base operating support functions for both combat and support installations, centralized organizations, activities, and services consisting of medical

and personnel support, individual and force support training, logistics, management headquarters, Federal agency support, and other centralized support activities.

Base Operating Support   Federal Agency Support
Personnel Support   Medical Support
Individual Training   Individual Support
Force Support Training   Central Logistics
Centralized Support Activities Management Headquarters

Individuals - The DPPC's in this group account for military personnel who are not considered force structure manpower and consist generally of transients, patients, prisoners, students and personnel awaiting separation.

Transients   Trainees   Holdees
Prisoners   Patients   Students

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APPENDIX E

PPBS ROLES AND RESPONSIBILITIES

1. Overall

    The Commandant's staff has primary responsibility for
external relations, service-wide policy (except training,
education, and Research, Development and Acquisition), and
non-FMF internal matters. CG MCCDC has primary responsibility
for FMF requirements, all training and education matters and
wargaming. CG MCRDAC is responsible for implementing DON
acquisition policies and for Program Executive functions.

    MCCDC recommends the force structure of the MAGTF,
identifying the warfighting requirements of the Marine Corps
and establishing the doctrinal and T/E requirements, while
designated HQMC staff agencies maintain T/O's and apply manning
in response to guidance.

    Specifically with regard to force structure and manning, CG
MCCDC develops and proposes new FMF T/O's and all FMF T/O
changes to the Commandant for approval. CG MCCDC also develops
and proposes manning levels and changes. CG MCCDC's
recommendations on force structure are developed in
coordination with the appropriate HQMC staff and the Force
Commanders. The recommendations are the responsibility of CG
MCCDC.

    The DC/S's PP&O, Avn, and I&L are assigned staff
cognizance for specific elements of the MAGTF. Detailed
non-FMF force structure responsibilities are listed in the
current edition of the Non-FMF troop list.

    The Headquarters staff reviews, comments, and advises on
all matters for the Commandant.

    Each Headquarters staff agency is responsible for tracking
and monitoring interoperability requirements in their
respective areas of responsibility and ensuring dissemination
to all appropriate agencies.

    The general force structure responsibilities of the
Headquarters staff agencies, MCCDC, and MCRDAC are defined in
subsequent paragraphs.

2. DC/S Manpower and Reserve Affairs

    PPBS Roles

    a. Force Structure - recruiting service, specified joint
          and external billets, The Marine Band, Non-FMF
          billets in support of the Marine Corps Reserve.

b. Non-FMF - civilian manpower, manpower management
        systems, field music, productivity improvement.
c. Appropriation Sponsor - MPMC, RPMC and O&MMCR.

Other PPBS Responsibilities

d. Plans and programs for Marine Corps Reserve existing
        plant and equipment.
e. Calls for manpower initiatives.
f. Military and civilian manpower plans.
g. Provides manning controls.

Other Related Responsibilities

h. Manpower policies.
i. Develop officer and enlisted plans.
j. Prepare Training Input Plan and forward to MCCDC (T&E).
k. Determine P2T2 levels.
l. Provide manning controls to DC/S R&P.
m. Publishes ASR's/GAR's.
n. Manages military/civilian manpower.
o. T/O implementation and maintenance. Refer to the
        current edition of MCO 5311.1 , Table of
        Organization (T/O) Management Procedures.
p. Manages Reserve manpower.
q. Coordinates Reserve training programs with active
        component programs.
r. Provides administrative support to the Marine Corps
        Reserve.
s. Primary staff responsibility for the Marine Corps
        Reserve.
t. Coordinates reviews of external billets.

3. AC/S C4I2

    PPBS Roles

    a. Force Structure - Specified non-FMF Program 2
            structure/billets (general purpose forces) and all
            Program 3 (NFIP and GDIP) structure/billets.
    b. Non-FMF - Intelligence; communications; ADP;
            specified Central Design and Program Activities (CDPA).
    c. Appropriation Sponsor - Program 3 (NFIP and GDIP) funds.

    Other PPBS Responsibilities

    d. Exercises staff cognizance over, and acts as the focal
            point for TIARA, NFIP, and GDIP matters. In these
            areas, assists the Secretary, the Under Secretary,
            and the Assistant Secretaries of the Navy. As the
            Service Cryptologic Element Chief, represents CMC
            on DIRNSA committees.

e. With input and assistance from MCCDC, MCRDAC, and other HQMC agencies, submits TIARA and GDIP Congressional Budget Justification Books and other programmatic documentation to Congress via appropriate agencies.
f. Exercises primary responsibility for all aspects of GDIP funded intelligence initiatives, including procurement of GDIP systems where appropriate.
g. Coordinates the prioritization for non-FMF ADP items (hardware and software).
h. Assists CG, MCCDC in prioritization of FMF C4, intelligence, cryptologic, reconnaissance, surveillance, EW, C3CM, and topographic projects.
i. With the assistance of MCCDC and MCRDAC, supervises the prioritization of all NFIP and GDIP initiatives, identifying the relative cost-benefit of those initiatives, and forwards them to the DCI via the appropriate agencies.

Other Related Responsibilities

j. Develops and publishes formal service C4, intelligence, cryptologic, reconnaissance, surveillance, EW, C3CM, topographic, C4I systems interoperability, and communications-security policy.
k. Exercises primary responsibility for external (DoD, national, and Congressional) relations and activities relating to C4, intelligence, cryptology, reconnaissance, surveillance, EW, C3CM, and topographics.
l. Serves as central management executive for ADP, per OMB circular.
m. Represents Marine Corps interests for WWMCCS.
n. Manages and directs the Marine Corps development, production procurement, and fielding of new stand-alone nontactical ADP equipment and of preplanned product improvements/modifications, normally through the complete system life cycle.
o. Manages Marine Corps C4I systems interoperability policy.
p. Prepares and publishes the Marine Corps Intelligence Master Plan, with input from MCCDC and MCRDAC.
q. Coordinates implementation of C4I systems policy on amphibious warfare issues.

4. <u>Fiscal Director</u>
    PPBS Roles

a. Force Structure - Defense Finance Accounting Service.
b. Non-FMF - Budgeting, accounting, and disbursing systems.
c. Appropriation Sponsor - n/a.

Other PPBS Responsibilities

d. Interprets and issues budget formulation and execution
        guidance and policy.
e. Coordinates budget formulation and justification for the
        appropriations for which CMC is responsible.
f. Oversees budget execution of funds for which the CMC is
        responsible.
g. Reviews and approves reprogramming of the
        appropriations for which CMC is responsible.
h. Supervises and documents the execution of the budget.
i. Costs the military manpower plans.
j. Submits DP updates.
k. Reviews POM for executability.
l. Serves as point of contact for external and internal
        budget matters for the appropriations which are the
        responsibility of the CMC.
m. Coordinates budget year decrements with appropriation
        sponsors; participates in POM year decrements
        coordinated by DC/S R&P.
n. Manages the summary version life cycle cost model
        (SVLCCM).
o. Serves as the point of contact to NAVCOMPT for all
        Marine Corps issues, except for Department of the
        Navy-financed aviation issues, MCON, MCNR, and
        Family Housing, which are blue-dollar support
        programs.
p. Sponsors budgeting, accounting, and disbursing systems
        in support of the FMF.

5. DC/S Aviation

PPBS Roles

a. Force Structure - Total force aviation military and
        civilian structure (FMF and non-FMF), excluding
        non-FMF structure/billets otherwise designated (for
        example, aviation billets assigned to recruiting,
        training, etc.), Aviation CSS Structure.
b. Non-FMF - aviation matters.
c. Appropriation Sponsor - N/A. Monitor - Represents and
        presents USMC requirements to OP-05 (appropriation
        sponsor) for aviation peculiar equipment/operations
        financed by APN, WPN, OPN, RDT&E, and O&M,N
        appropriations.

Other PPBS Responsibilities

d. Programs within OP-05 for other aviation support in the
        WPN, OPN, O&M,N, RDT&E,N appropriations (except
        programs funded by RDT&E,N green dollars).
e. Identifies and programs for proper levels of aircraft
        material readiness and sustainability.

Other Related Responsibilities

f. Manages Marine Corps Air Station and HMX-1 Flying Hour
        Programs.
g. Manages aviation T/O's and applies manning in response
        to appropriate guidance.
h. Manages aviation requirements and logistics.
i. Drafts the detailed Aviation Plan to meet the
        requirements of the MAGTF Master Plan (coordinates
        the requirements with the resources available).
j. Provides input to warfare appraisals.
k. Develops and publishes formal aviation policy.
l. Represents CMC's aviation interests within the OPNAV
        staff.
m. Monitors interoperability of aviation systems.
n. Coordinates with MCCDC during development of
        ROC's/TOR's from a technical and executability
        perspective.
o. Supports DC/S R&P in aviation related issues within the
        DON programming forums.

6. DC/S Installations & Logistics

    PPBS Roles

a. Force Structure - Total force CSS military and civilian
        structure (Non-FMF), MCCDC base support structure, and
        MCRDAC internal structure; excluding non-FMF
        structure/billets otherwise designated.
b. Non-FMF - Military Construction, Family Housing, MCNR,
        Naval Stock Fund (MC division), certain garrison and
        non-tactical support equipment, MCLB Operations
        including the MCLB CDPA, operations and maintenance of
        existing plant and equipment, transportation of things,
        logistics automated information systems, commissaries,
        garrison mobile equipment, food service, and
        subsistence.
c. Appropriation Sponsor - O&MMC. Major Claimant - MCON,
        Family Housing, NSF-MCD, MCNR, MCIF.

    Other PPBS Responsibilities

d. Coordinates the prioritization of MCON and Marine
        Corps-exclusive MCNR projects.
e. Monitors and advises CMC regarding material readiness
        and sustainability of Marine forces, excluding aircraft
        and ammunition.
f. Monitors and represents Marine Corps interests for
        strategic air and sealift.
g. Develops and maintains the Marine Corps Critical Items
        List.
h. Represents the Supporting Establishment in macro issues
        addressed at HQMC.

i. Through Mission Area Analyses (MAA's), coordinates identification of mission needs and requirements for Supporting Establishment doctrine, training, force structure, equipment, and facilities.

j. Develops and coordinates a methodology for the Supporting Establishment PPBS effort, parallel to CG MCCDC's role of sponsoring FMF PPBS initiatives.

k. Coordinates with sponsors who exercise staff cognizance over various appropriation, functional, force structure/table of organization, and military occupational fields in the program and budget process.

l. Responsible for enhancing the operational capabilities of the Supporting Establishment by establishing support policies and procedures in coordination with FMF commanders and other functional and structural appropriation sponsors.

m. Established prioritized goals, objectives, and program initiatives to guide resource allocation throughout the program development process.

n. Approves manned structure increases and proposes Supporting Establishment force structure and manning allocations for CMC approval.

o. Coordinates and oversees execution of Supporting Establishment-related acquisition programs to ensure that required operational capabilities are achieved.

p. Serves as "coordinating authority" to resolve matters of dispute among functional and structure sponsors of the Supporting Establishment and forwards matters failing resolution to ACMC or CMC as appropriate.

q. As head of the Contracting Activity, sets policy for all procurement and contracting matters relating to the Supporting Establishment.

r. Functions as the proponent for the Supporting Establishment. Coordinates Supporting Establishment matters that transect specific interests of other functional, structural, and occupational sponsors.

s. Through the Supporting Establishment Plan collects, collates, and analyzes the state of the SE to determine priorities for Non-FMF initiatives.

t. Communicates prioritized requirements to the PWG at critical points in the PPBS process for use in assessing individual initiatives.

Other Related Responsibilities

u. Develops and publishes logistics policy.

v. Coordinates the maintenance and publication of T/E's.

w. Manages LMIS.

x. Contracting policy oversight of USMC field contracting activities.

y. Supports DC/S R&P in combat service support related issues within the DON programming forums.

z. Maintains T/O's.
aa. Has the lead in developing the Supporting Establishment
        Master Plan (SEMP).
bb. Has the lead in developing mission-related
        (capability-related) measures of effectiveness of
        O&MMC.

7. DC/S Plans, Policies, and Operations

    PPBS Roles

    a. Force Structure - Total force GCE military and civilian
            structure (FMF and non-FMF), excluding non-FMF
            structure/billets otherwise designated.
    b. Non-FMF - Security Force Battalion, Marine Security
            Guards, Marine Barracks.
    c. Appropriation Sponsor - n/a.

    Other PPBS Responsibilities

    d. Monitors and represents Marine Corps interests for
            amphibious support in the SCN, WPN, O&M,N, RDT&E,N
            appropriations.
    e. Identifies O&M funding requirements for exercises and
            maintenance of MPS and Geo-Prepositioned Stores.
    f. Identifies funding requirements for JCS exercises.
    g. Identifies PMC and O&M funding requirements for
            physical security of ammunition storage areas and
            armories.
    h. Coordinates joint service planning.
    i. Coordinates the review of initiatives for
            compatibility with amphibious lift requirements.
    j. Coordinates the establishment of amphibious requirements.

    Other Related Responsibilities

    k. GCE interoperability (non-C4).
    l. CMC representative to JCS.
    m. Monitors current Marine Corps military operations and
            coordinates operational planning.
    n. Consolidates readiness reporting.
    o. Monitors interoperability of GCE systems.
    p. Develops and implements policy for the MAGTF as an entity
            and the command element and ground combat element
            thereof.
    q. Coordinates with MCCDC to ensure that all joint
            considerations are taken into account by the MAGTF Master
            Plan and other internal Marine Corps plans.
    r. Supports DC/S R&P in ground related issues within the
            DON programming forums.

8. DC/S Requirements and Programs

    PPBS Roles

a. Force Structure - Specified external and joint
        structure/billets.
b. Non-FMF - n/a.
c. Appropriation Sponsor - n/a.

Other PPBS Responsibilities

d. Marine Corps point of contact with the DON Program
        Information Center (DONPIC) and the Deputy Chief of
        Naval Operations for Navy Program Planning (OP-08).
e. Coordinates and publishes POM serials.
f. Marine Corps' single point of contact with OPNAV and
        DoD on programming matters (e.g., OPA, PDRC, CEB, OSD
        PA&E).
g. Coordinates with all HQ staff agencies, CG MCCDC and CG
        MCRDAC for the monitoring and influencing of blue
        dollar programs within OP-08, assuring that there is a
        coordinated position within the Marine Corps.
h. Coordinates Headquarters, MCCDC, and MCRDAC in Marine
        Corps/DON POM activities.
i. Coordinates the development and maintenance of the
        Troop List data base, including FMF, Non-FMF, and the
        SMCR. Updates, publishes, and distributes the Troop
        List to support POM and budget development as required.
        Coordinates MCCDC and staff input on issues requiring
        resolution and adjudication
j. Programmatic Validation and Analysis: Validation
        consists of reviewing and tracking all USMC programs
        (green, blue and blue in support of green) and other DoD
        programs of interest to the USMC. It is accomplished by
        ensuring proper documentation for each program and
        complete ILS submission for each program. Analysis
        consists of warfare and warfighting appraisal results,
        budget, programming, resource projections, and
        compliance with DPG, IPL's, and other service issues.
k. Conducts review of MMPM with HQ agencies, MCRDAC, MCCDC,
        and MCLB.
l. Coordinates the prioritization of FMF with non-FMF
        initiatives of like kind (i.e., structure, manpower,
        acquisition).
m. Coordinates and conducts the Program Assessment Process
        which utilizes the MAGTF Master Plan and the
        Supporting Establishment Master Plan as the basis of
        this assessment (precedes CNO's appraisal cycle).
n. Coordinates the development of the green dollar POM
        through the POM Working Group, Program Review Group,
        and the CMC Committee and chairs the PRG.
o. Develops and coordinates procedures for developing the
        total Marine Corps Program - both blue and green.
p. Publishes appropriation controls to the Appropriation
        Sponsors.
q. Coordinates DPRB Review issue response with all agencies.

r. Coordinates any programmatic decrement drills.
s. Recommends programming guidance to CMC.
t. Develops and coordinates PPBS training.
u. Schedules Marine Corps participation in the POM
      Wargame.
v. Develops Programming Handbook and glossary.
w. Provides an analysis of long-range program
      affordability (to MCCDC, MCRDAC, and HQMC staff).
x. Responsible for reviewing, prior to transmittal to the
      DON, all program related FYDP submissions.

9. Marine Corps Combat Development Command (MCCDC)

    CG MCCDC functions as the proponent of the MAGTF and is
also responsible for non-FMF Training/Education and assigned
force structure, having primary responsibility for anything
dealing with warfighting (FMF commanders, MAGTF concerns),
education/training, wargaming, and studies including:

-   Force structure
-   Manages FMF Tables of Equipment (T/E's)
-   Requirements (only MAGTF and training)
-   Establish benefit measures for FMF Green POM
      initiatives and all FMF-related Blue POM issues
-   Program
    -- development of training initiatives
    -- benefit measures for education, training, and
        wargaming initiatives

    But not including:

-   Cost-benefit orders of buy
-   Amphibious requirements
-   Joint plans
-   Operational plans
-   Readiness, except training

    PPBS Roles

a. Force Structure - Proposes recommended force structure
      changes. Recommends MAGTF force structure. Submits
      Troop Lists to DC/S R&P. Manages Command Element,
      Ground Combat Element, and Combat Service Support
      (FSSG) T/O's. Develops and proposes manning levels and
      changes. Develops FMF force structure and T/O's
      (excluding Aviation FMF force structure).
b. Non-FMF - Training, education, wargaming, studies,
      Marine Corps Operations Analysis Group (MCOAG). Non-FMF
      military and civilian structure. Internal MCCDC
      structure excluding Base Operation Support. Training
      establishment.
c. Appropriation Sponsor - n/a.

Other PPBS Responsibilities

d. Conducts mission area analysis.
e. Identifies requirements and develops Required
        Operational Capabilities (ROC's); coordinates the review
        of ROC's by the FMF and Headquarters staff; submits
        ROCs with all comments to CMC (R&P) for forwarding to
        CMC/ACMC for decision.
f. Develops concepts and determines requirements.
g. Develops the Marine Corps Long-Range Plan (MLRP), MAGTF
        Master Plan (MMP), and Campaign Plan (MCCP).
h. Develops and implements policy and programs for
        training and education of all regular and reserve
        personnel and units.
i. Supervises the assignment of benefit values to all
        green dollar FMF initiatives (structure, manning,
        tactical materiel) and those blue dollar Navy POM
        issues that impact on the FMF into two coordinated
        lists (green and blue).
j. Submits the green dollar FMF initiatives with assigned
        benefit values and their relative merits to CMC.
k. Submits green dollar non-FMF initiatives for which
        MCCDC is responsible, with assigned benefit values, to
        CMC for further program development at the Headquarters.
l. Monitors budget execution in light of program and plan,
        to support program development.

Other Related Responsibilities

m. MAGTF - all warfare mission areas and all aspects of
        the FMF, except amphibious lift requirements.
n. Develops, completes, and promulgates doctrine.
o. Identifies and assesses changes to doctrine, training,
        MAGTF force structure, and materiel.
p. Exercises cognizance over matters pertaining to
         wargaming.
q. Provides support for simulation and modeling and
        assessment for the operating forces, reserves,
        supporting establishment, and Headquarters Marine
        Corps.
r. Formulates and executes the Marine Corps Studies
        Program.
s. Develop interoperability requirements for C2 and
        communications architeture.
t. Coordinates proposed Training Establishment T/O changes
        with MOS and occupational field sponsors prior to
        seeking CMC approval.

10. Marine Corps Research, Development, and Acquisition
     Command (MCRDAC)

     PPBS Roles

a. Force Structure - Specified joint and external
     structure/billets.
b. Non-FMF - MCTSSA.
c. Appropriation Sponsor - PMC, Marine Corps ground
     RDT&E,N allocation.

Other PPBS Responsibilities

d. Prepares, with few exceptions, all green dollar FMF
     acquisition initiatives (including ground ammunition)
     and submits to MCCDC for assignment of benefit values.
e. Prepares training and wargaming non-FMF initiatives and
     submits to MCCDC for assignment of benefit values.
f. Prepares green-dollar non-FMF acquisition initiatives
     and submits to CMC for assignment of benefit values, in
     the designated areas.
g. Considers PWG/PCG/ACMC acquisition recommendations to
     CMC in developing the ground RDT&E program in
     coordination with MCCDC.
h. Submits the ground RDT&E program to CMC (RP) via MCCDC.
     Upon approval from CMC, submits RDT&E program to OP-098.
i. Maintains and updates the LMIS/MMPM and Budget
     Development System (BDS) databases as required to
     support programming and budgeting. The databases
     include items under MCRDAC's cognizance and other
     items from MCLB and DC/S I&L requiring PMC funding.
j. Provides post-deployment software support for tactical
     systems.

Other Related Responsibilities

k. Ensures DoD/DON acquisition policy is adhered to for
     Tactical Systems.
l. Provides organizational support to the Marine Corps
     Program Executive Officer.
m. Manages and directs the Marine Corps systems
     engineering, development, production, procurement, and
     fielding of new equipment and of preplanned product
     improvements/modifications, normally through FOC
     (milestone O-IV). (However, MCRDAC is not responsible
     for stand-alone nontactical ADP equipment; this is Dir
     C4's responsibility.)
n. Manages Marine Corps ground ammunition program.
o. Schedules and conducts Marine Corps Program Decision
     Meetings.
p. Implements procurement programming actions in
     accordance with CMC policy and guidance to achieve
     established sustainability and readiness goals.
q. Develops the Master Acquisition Plan and detailed
     supporting plan.

r. Manages the Marine Corps' technology base and
        exploratory development programs.
s. Monitors other service and Allied programs for Marine
        Corps applicability.
t. Incorporates interoperability standards and directs
        intra-operability standards for materiel and software.
u. Establishes Interoperability Configuration Control Board.
v. Develops C2 and communications architecture in response
        to requirements defined by MCCDC.
w. Provides new systems acquisition contracting for
        procurement, O&M, and RDT&E,N.
x. Responsible for cross-service acquisition agreements.
y. Provides Integrated Logistics Support planning and
        management for systems acquisition in conjunction with
        MCLB, Albany.
z. Serves as Comptroller for systems acquisition.
aa. Other responsibilities as directed in applicable
        SECNAVINST's.